PARTICIPATORY INQUIRY IN PRACTICE [PIP]

NGO ACCOUNTABILITY, ACTION RESEARCH AND URBAN YOUTH IN KAMPALA

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PH.D. IN INTERNATIONAL SOCIAL WORK

DE MONTFORT UNIVERSITY, ENGLAND - 2015

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ABSTRACT

Globally Non-Governmental Organisations (NGOs) wield a tremendous amount of political and resource power. The nature and underlying values of these organisations often leads them to work with marginalised and vulnerable individuals, in some of the world's most challenging environments. However, with the rise of new managerialism and recognition of failings within the sector, it is no longer viewed as acceptable for NGOs merely to have good intentions. Today it is widely accepted that NGOs must ensure and demonstrate responsible action. They must be accountable.

This study utilised a unique multi-dimensional approach to action research to explore the subject of NGO accountability. Utilising cycles of action and reflection, three separate dimensions of action research were run concurrently. Within the ***individual dimension*** of the inquiry, I entered a practice setting to explore the experience of NGO practitioners. The individual dimension of action research refers to how, over a year and a half, I worked within the Ugandan NGO, UYDEL, whilst rigorously collecting data regarding my experience. When in Uganda, it is important to note that I joined two other practitioners within an action research group. The ***practitioner-based dimension*** of the action research describes the weekly, collaborative process of action and reflection which was undertaken in order to enhance practice.

The ***youth-led dimension*** of the action research methodology refers to 96 group sessions which were held with 20 young women from the slums of Kampala. Over the period of a year, the group members selected a subject of concern and developed research to explore this issue. Whilst many of the group members had limited educational or group experience, they were able to design, implement and analyse three separate surveys with over 500 participants. By utilising collective power, the groups were able to acquire new insights into issues, whilst working in exceptionally challenging environments and overcoming several significant challenges. This research led to an advocacy campaign on urban crime and the establishment of a youth-led business. The youth-led action research emerged from the development of a theoretically informed practice model which was designed to enhance NGO accountability. Whilst I initially developed the practice model it was refined and adapted over the year. The collaborative practitioner-based action research enabled the model to evolve from the on-going learning of practitioners.

The inquiry contributes to evident gaps in knowledge by providing a rare account of the experience of NGO practitioners, trying to manage accountability in an authentic practice-based setting. From this experience, the complexity of accountability was highlighted. For example, it is evident that the NGO practitioners' attempts to create equality between accountability actors were inhibited by visible, hidden, and invisible forms of power. Power emerged through the language and systems of accountability.

The inquiry also manages to identify some functional ways to enhance accountability. The importance of the human dimension of accountability is emphasised. It is asserted that to enhance accountability, relationships need to develop. Furthermore, it is argued that it is integral to support practitioners and to encourage reflexive and adaptive processes. Most importantly concepts of empowerment need to be reviewed in light of the data which highlights the importance of a *liberating approach*. The study concludes by recognising the potential for further inquiry and how complexity theory may be of particular interest.

For Barbra, Beccy

&

Evelyn

CONTENTS

LIST OF FIGURES

LIST OF TABLES

ACRWC	AFRICAN CHARTER ON THE RIGHTS AND WELFARE OF THE CHILD
CBOS	COMMUNITY BASED ORGANISATIONS
CSO	CIVIL SOCIETY ORGANISATION
DDP	DISTRICT DEVELOPMENT PLAN
GOU	GOVERNMENT OF UGANDA
LAA	LOCAL ADMINISTRATIVE ACT, 1967
LC1	VILLAGE (RURAL) OR WARD LEVEL (URBAN) LOCAL COUNCIL
LC2	PARISH LOCAL COUNCIL
LC3	SUB-COUNTY (RURAL) OR DIVISION (URBAN) LOCAL COUNCIL
LC4	COUNTY (RURAL) MUNICIPALITY (URBAN) LOCAL COUNCIL
LC5	DISTRICT LOCAL COUNCIL
LGA	LOCAL GOVERNMENTS ACT, 1997
LGDP	LOCAL GOVERNMENT DEVELOPMENT PROGRAMME
LGPAC	LOCAL GOVERNMENT PUBLIC ACCOUNTS COMMITTEE
LGS	LOCAL GOVERNMENTS
LGTB	LOCAL GOVERNMENT TENDER BOARD
M&E	MONITORING AND EVALUATION
MOU	MEMORANDUM OF UNDERSTANDING
NGO	NON-GOVERNMENTAL ORGANISATION
OVC	ORPHANS AND VULNERABLE CHILDREN
PIP	PARTICIPATORY INQUIRY IN PRACTICE

QuAM	Quality Assurance Certification Mechanism (2006)
RDC	Resident District Commissioner
SWAp	Sector Wide Approach
AAA	Accra Action Agenda
AG	Advisory Group on CSOs and Aid Effectiveness
CSO	Civil Society Organisation
DAC	Development Assistance Committee
DENIVA	Development Network of Indigenous Voluntary Associations
HLD	High-Level Dialogue
HLF	High Level Forum on Aid Effectiveness
MDGs	Millennium Development Goals
MGLSD	Ministry of Gender Labour and Social Development
UBOS	Uganda Bureau of Statistics
UYDEL	Uganda Youth Development Link
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UN-HABITAT	United Nations Human Settlements Programme
UNICEF	United Nations Children's Fund
UNODC	United Nations Office on Drugs and Crime

GLOSSARY OF ACCOUNTABILITY TERMS

ACCOUNTABILITY BY PROXY*:*	SITUATION WHERE THE NGO FACILITATES AN ACCOUNTABILITY RELATIONSHIP BETWEEN TWO OTHER ACTORS
DE FACTO ACCOUNTABILITY:	ACCOUNTABILITY THAT HAPPENS IN PRACTICE, OFTEN COMPARED TO 'DE JURE' ACCOUNTABILITY (GOETZ AND JENKINS, 2005)
DOWNWARD ACCOUNTABILITY:	ACCOUNTABILITY TO COMMUNITIES AND BENEFICIARIES
EX-ANTE ACCOUNTABILITY:	'WHEN RULES, PROCEDURES AND PLANS ARE MADE TRANSPARENT IN ADVANCE OF THEIR EXECUTION' (MCGEE AND GAVENTA, 2010:5)
EX-POST ACCOUNTABILITY:	ACCOUNTABILITY THAT OCCURS AFTER THE FACT (MCGEE AND GAVENTA, 2010:5)
EXTERNAL ACCOUNTABILITY:	IMMEDIATE ACCOUNTABILITY CONCERNS, FOR EXAMPLE THAT RELATING TO A SPECIFIC PROJECT OR PROGRAMME. 'AN OBLIGATION TO MEET PRESCRIBED STANDARDS OF BEHAVIOR' (CHISOLM CITED IN EBRAHIM, 2003B:814)
FUNCTIONAL ACCOUNTABILITY:	'ACCOUNTING FOR RESOURCES, RESOURCE USE, AND IMMEDIATE IMPACTS' (AVINA CITED IN NAJAM, 1996:351)
HORIZONTAL ACCOUNTABILITY:	THIS TERM IS USED IN TWO MAIN CONTEXTS. CAVILL AND SOHAIL (2007) STATE THAT THIS REFERS TO ACCOUNTABILITY TO 'PEERS AND FELLOW PROFESSIONAL IN TERMS OF MEETING SHARED VALUES AND STANDARDS TO UPHOLD THE STANDARDS AND REPUTATION OF THE SECTOR' (2007:231). THE TERM IS USED IN A POLITICAL SENSE TO RECOGNISE A GOVERNMENT'S INTERNAL ACCOUNTABILITY MECHANISMS BETWEEN AGENCIES WITHIN A STATE
INTERNAL ACCOUNTABILITY:	ACCOUNTABILITY 'MOTIVATED BY ''FELT RESPONSIBILITY'' AS EXPRESSED THROUGH INDIVIDUAL ACTION AND ORGANIZATIONAL MISSION' (FRY CITED IN EBRAHIM, 2003B:814)
INWARD ACCOUNTABILITY:	'NGOS ARE INWARDLY ACCOUNTABILITY TO THEMSELVES FOR THEIR ORGANISATIONAL MISSION, VALUES AND STAFF' (LLOYD, 2005:3)
MANAGERIAL ACCOUNTABILITY:	'MANAGERIAL ACCOUNTABILITY IS SEEN TO FOCUS ON MONITORING INPUTS AND OUTPUTS OR OUTCOMES' (ALFORD CITED IN SINCLAIR, 1995:227)
MUTUAL ACCOUNTABILITY:	'ACCOUNTABILITY AMONG AUTONOMOUS ACTORS THAT IS GROUNDED IN SHARED VALUES AND VISIONS AND IN RELATIONSHIPS OF MUTUAL TRUST AND INFLUENCE' (JORDAN, 2007:95)
PRINCIPAL-AGENT ACCOUNTABILITY:	'MOTIVATING AGENTS TO ACHIEVE THE GOALS OF SUPERIORS' (GUIJT, 2010:63) 'PROCESSES BY WHICH INPUTS ARE TRANSFORMED' (SINCLAIR, 1995:227)
PROFESSIONAL ACCOUNTABILITY:	'A SYSTEM MARKED BY DEFERENCE TO EXPERTISE WHERE RELIANCE MUST BE PLACED ON THE TECHNICAL KNOWLEDGE OF EXPERTS AND WHERE CLOSE CONTROL FROM OUTSIDE THE ORGANIZATION IS INAPPROPRIATE' (ROMZEK AND DUBNICK CITED IN MULGAN, 2000:558).

Relational accountability:	With relational accountability, people are required to explain and take responsibility for their actions through the giving and demanding of reasons for conduct (Unerman and O'dwyer, 2006b:353)
Representative accountability:	'Referring to the obligations of representatives to constituents'(Guijt, 2010:283)
Social accountability:	social accountability 'is about how citizens demand and enforce accountability from those in power' (Claasen and Aplin-Lardies cited inMcgee and Gaventa, 2010:5)
Strategic accountability:	'strategic accountability seeks to answer the question 'Did I/others/organizations/institutions act as effectively as possible?' In this sense, accountability is intrinsically about identity – feeling committed to one's ideas and strategies' (Guijt, 2010:283)
Surrogate accountability:	'Surrogate accountability involves an actor—a surrogate—who substitutes for accountability holders during one or more phases of the accountability process: setting standards, finding and interpreting information and, most importantly, sanctioning the power wielder if it fails to live up to the relevant standards' (Rubenstein, 2007:617)
Upward accountability:	Accountability to 'donors, funders, boards of trustees, and host governments, ensuring that INGOs deliver value for money and targets' (Cavill and Sohail, 2007:231)
Vertical accountability:	'Vertical accountability is used to describe the accountability relationship between state (or more accurately the public officials within it) and citizenry'(O'neil *et al.*, 2007:6)
Voice accountability:	Accountability referring to voice (Slim, 2002)

Glossary of Ugandan terms

Boda-boda	A motorbike taxi service. Cheap and much faster during rush hour than any other form of transport but also notoriously dangerous.
Luganda	Uganda's unofficial but commonly spoken language in Kampala.
Matatu	A small and cheap mini-bus taxi service, that travels along set routes. The mini-bus will carry approximately 16 individuals, cargo and at times livestock.
Shillings	Ugandan shillings, the national currency of Uganda.

NGO TERMS

NGO	NON-GOVERNMENTAL ORGANISATION.
INGO	INTERNATIONAL NGO.
CSO	CIVIL SOCIETY ORGANISATIONS: IN MANY CONTEXTS THE TERM NGO AND CSO ARE USED INTERCHANGEABLY. NGOS ARE REGARDED AS BEING PART OF THE BROADER CIVIL SOCIETY WHICH ALSO INCLUDES BODIES SUCH AS RELIGIOUS ORGANISATIONS, PRESS AND MEDIA.
RBO	RELIGIOUS-BASED ORGANISATIONS (RBOS). THESE ORGANISATIONS MAY BE CHURCH-BASED OR NGOS WITH A STRONG RELIGIOUS AFFILIATION.
SNGO	SOUTHERN NGO (SNGOS). NGOS BASED IN THE GLOBAL SOUTH.
SDNGO	SOUTHERN DEVELOPMENT NGO (SDNGO). DEVELOPMENT FOCUSED NGOS BASED IN THE GLOBAL SOUTH.
CBO	SMALL COMMUNITY-BASED NGOS.
SNGO	SOUTHERN NGO (SNGOS). NGOS BASED IN THE GLOBAL SOUTH.
NNGO	NORTHERN NGO (NNGOS). NGOS BASED IN THE GLOBAL NORTH
NDNGO	NORTHERN DEVELOPMENT NGO (NDNGO). DEVELOPMENT FOCUSED NGOS BASED IN THE GLOBAL NORTH.
TNGO IN	TRANSNATIONAL NGOS (TNGOS). LARGE INTERNATIONAL NGOS OPERATING MULTIPLE COUNTRIES.
HUMANITARIAN ORGANISATIONS	AN NGO WITH A HUMANITARIAN / EMERGENCY FOCUS.
NOT-FOR-PROFIT ORGANISATIONS	COMMONLY USED IN THE UNITED STATES; A TERM USED TO DESCRIBE AN ORGANISATION THAT DOES NOT GENERATE PROFIT. THESE ORGANISATIONS MAY ALSO BE REGARDED AS NGOS.
NON-PROFIT ORGANISATIONS	A TERM USED TO DESCRIBE AN ORGANISATION THAT DOES NOT GENERATE PROFIT. THESE ORGANISATIONS MAY ALSO BE REGARDED AS NGOS

CHARITY	A TERM COMMONLY USED IN THE UK TO DEFINE AN NGO WHICH IS ALSO LEGALLY REGISTERED AS A CHARITY.
DONOR	A TERM OFTEN UTILISED TO DEFINE AN ACTOR OR ORGANISATION THAT DONATES FUNDS TO AN NGO.
BILATERAL DONOR	ORGANISATIONS REPRESENTING AID GIVING DEPARTMENT OF A GOVERNMENT. IN THE UNITED KINGDOM THIS WOULD REFER TO THE DEPARTMENT FOR INTERNATIONAL DEVELOPMENT (DFID).
MULTILATERAL DONOR	ORGANISATIONS THAT DISTRIBUTE AID ON BEHALF OF MULTIPLE GOVERNMENTS WHO HAVE DONATED TO THEM. THE TERM RELATES TO UNITED NATIONS DEPARTMENTS SUCH AS UNICEF (UNITED NATIONS CHILDREN'S FUND) AND THE OECD (ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT).

<u>OTHER TERMS</u>

LEGITIMACY:	'THE PARTICULAR STATUS WITH WHICH AN ORGANISATION IS IMBUED AND PERCEIVED AT ANY GIVEN TIME THAT ENABLES IT TO OPERATE WITH THE GENERAL CONSENT OF PEOPLES, GOVERNMENTS, COMPANIES AND NON-STATE GROUPS AROUND THE WORLD' (SLIM, 2002)
VOICE:	'THE CAPACITY OF ALL PEOPLE – INCLUDING THE POOR AND MOST MARGINALISED – TO EXPRESS VIEWS AND INTERESTS AND DEMAND ACTION OF THOSE IN POWER (OVERSEAS DEVELOPMENT INSTITUTE (ODI), 2007:2)

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PIP GROUP MEMBERS & LOCAL FACILITATORS






















Josephine; Jaliat; Monica; Gorreth; Grace; Jessica; Bridgett; Evelyn; Bettie; Immaculate; Julie; Moureen; Hanifa; Brendah; Shakirah; Mary; Carol; Rehema; Josephine; Rashida; Millie; Jennifer

Please note: *Upon request of the young people involved, PIP group members asked to be given credit for their massive contribution towards this study by having their picture and first name shown in the thesis. Names are not given in same order as photos; location and last names have been purposely excluded.*

CHAPTER 1: INTRODUCTION

FIGURE 1: PIP GROUP MEMBERS UNDERTAKING YOUTH-LED ACTION RESEARCH, 2012

BACKGROUND TO THE INQUIRY

In its broadest sense, accountability refers to how responsible action is ensured and demonstrated. Whilst Non-Governmental Organisations (NGOs) continue their work with vulnerable individuals, within some of the world's most challenging environments, they are increasingly asked how they ensure and demonstrate responsible action. However, a challenge is presented as the notion of responsible action is often value-laden and subjective; governments, donors and communities may have different interpretations of what this entails. The literature review on NGO accountability, offered within ***chapter 2***, highlights the history, status and role of NGOs and why the subject of accountability has come to the fore. It is asserted that whilst the term has been utilised since the end of the Second World War, it wasn't until the 1990s that these organisations were generally asked to do more than to demonstrate good intentions as proof of responsible action. This chapter highlights how the NGO sector was subject to a conceptual shift on issues of accountability which coincided with the increasing popularity of *new managerialism* in the public sector. Informed by this approach, donors demanded that NGOs demonstrate business-like qualities; they required that NGOs compete for funding, demonstrate cost effectiveness and measure impact.

As functional approaches to accountability emerged, the human dimension of responsible action was also highlighted. In 1994, one of the largest genocides in human history occurred in Rwanda. Many survivors of the atrocities fled to refugee camps in neighbouring countries, or to camps within Rwanda, to seek sanctuary. However, this course of action was not without its own risk; it has been suggested that up to 50,000 individuals died from preventable causes in the camps. Arguably, we will never know the proportion of lives that might have been saved if NGOs adopted a more responsible approach, but the significance of events led the NGO sector to acknowledge that they had failed the communities they sought to support. Good intentions were no longer viewed as adequate. In an attempt to ensure responsible action in the future, a wide range of accountability mechanisms[1] were launched by the sector. As the concept gained prominence a vast array of standards, accreditation systems, legal frameworks, guides and codes were developed to aid NGOs to ensure and demonstrate responsible action. However, despite a wide-spread agreement that NGOs should be held to account, there is currently no universal accountability mechanism or definition of accountability. Today different accountability actors vie to assert their own, often

[1] An accountability mechanism highlights tools and interventions that are intended to enhance accountability. A full description of mechanisms and a list of mechanisms relevant to this study is highlighted in ***Appendix A4***

competing, views of responsible action with differing degrees of success, whilst NGO practitioners often find themselves overwhelmed by demand and buried in bureaucracy.

My engagement with accountability began when I started work within the NGO sector; I rapidly learnt how challenging it was to juggle multiple accountability demands, as I tried, and failed, to ensure implementation reflected the wishes of all actors involved. As an NGO practitioner, I often found myself at the nexus of accountability decisions; working between communities and donors, cultures and professions, I was exposed to different interpretations of accountability. I came to appreciate that practice was much more complex than it was presented in the textbooks I studied. As an NGO practitioner, I was overwhelmed by accountability demands and found it challenging to locate anything to assist me with the reality I faced. Within my literature review, I also found that other authors echoed my concerns, as they asserted that much of what was written about accountability was too theoretical for practice or solely focused on NGO accountability from one distinct perspective; I sought to redress this.

My original contribution to knowledge is to produce a detailed account of the reality faced by NGO practitioners and a practice model which offers a practical means for enhancing NGO accountability. The aim of this inquiry was to explore how NGO accountability might be enhanced in the real world. Under this umbrella, two specific aims were adopted.

> ***Aim 1:*** To explore an NGO practitioner's experience of managing multiple accountabilities within a practice-based setting.
>
> ***Aim 2***: To identify a functional way in which NGO accountability may be enhanced.

THE FIRST AIM: PRACTITIONER EXPERIENCE

In order to address the first aim of the inquiry, which sought to explore practitioner experience, a two-pronged approach was adopted. Firstly, acting as a practitioner and researcher, I engaged in ***self-reflective action research***; analysing my work and engagement with the individuals involved. Secondly, by engaging in ***practitioner-based action research***, I and two other NGO practitioners were able to explore what worked, and what did not, in regards to NGO accountability. Adopting a cyclical process of action and reflection, we met on a weekly basis to discuss progress and to shape future events. Records of these planning and review meetings, alongside daily session evaluations and participant interviews, offer a collaborative view of the practitioner experience.

THE SECOND AIM: ENHANCING ACCOUNTABILITY

In order to identify a functional way in which NGO accountability may be enhanced, I developed a practice model; a guide to practice informed by theory. By integrating systems, systemic, critical, pragmatic and participatory theories, the practice model asserted a belief that NGO accountability could be enhanced by improving the NGO's participation with its beneficiaries. Informed predominantly by theories of Social Action, I suggested the development of a group that would engage in all aspects of the NGO's work and which would undertake its own inquiry: the practice model known as Participatory Inquiry in Practice (PIP).

Following an initial design period in the UK, I travelled to Uganda in Nov 2011 to start the process of collaboration and inquiry. The implementation of the practice model led to the development of group sessions with two groups, of ten young women, aged 15 – 24 years. These PIP sessions took place in two separate locations; namely, the slums areas of Kawempe and Makindye within the city of Kampala. Over a year 96, three-hour sessions were undertaken. Elected by their peers, each group led their own process of ***youth-led action research***; identifying a local problem, exploring this problem, taking action and reflecting. The sessions resulted in the development of an advocacy campaign on urban crime, the initiation of a youth-led business and three youth-led surveys, which engaged over 500 individuals in total. The implementation of the practice model was carefully documented and evaluated in regards to its impact on NGO accountability. As will be discussed, the ***youth-led action research***, in conjunction with the collaborative ***practitioner-based action research*** and the ***individual action research*** are viewed as three different dimensions, of one methodology.

It is noted that six months after the main field work was undertaken, I returned to Uganda to speak with the individuals who were involved in the action research process. This evaluation stage of the inquiry was incorporated so that I might assess the inquiry's outcome validity and whether I had identified a functional way to enhance NGO accountability. This process of ***methodological reflection*** is viewed as the fourth, and final, dimension of the action research methodology.

POWER

This multi-dimensional approach to action research highlighted that dominance over NGO accountability is not usually exerted in overt ways; but rather, through the language, systems, fears and beliefs that different accountability actors bring with them into the fray. Power is hidden in the way agendas are shaped, and even by non-engagement. At times power can be invisible as decisions are made to appease powerful actors without these actors ever having direct engagement. The

original design of the practice model acknowledged the importance of power and inequality but was under-developed in regards to theoretical constructs of power.

Whilst the model created space for the PIP group members' participation in NGO accountability, initially this predominantly depended upon the PIP facilitators' ability to open up spaces that were once closed. Implementation of the practice model facilitated PIP group members to learn about accountability, to undertake youth-led research and to engage in project design and implementation. However, it was noted that groups were not initiated by the young people involved and the PIP facilitators found that they had to utilise their own power as brokers, to fight for the PIP group members' ability to participate. In what can be described as a *liberal approach* to empowerment, power was effectively awarded. However, whilst the practice model exhibited this approach throughout its implementation, the ***liberal approach*** became less important as the PIP facilitators acknowledged the importance of building capacity, increasing group members' confidence, working collectively and building relationships. The inquiry highlighted that a ***liberating approach*** to empowerment, which focused on increased agency and collective power, was necessary for enhancing accountability. These findings bring into question whether accountability needs reframing in a way that appreciates the subtle and dynamic nature of power. It is argued that if donors and NGOs genuinely wish to redress the power and inequality evident, the sector needs to reconsider the primarily short-term and project-focused manner in which NGO accountability is usually approached.

COMPLEXITY

The power relationships that emerged highlight just some of the complexity of accountability. An important contribution to knowledge offered by this inquiry is to detail the complexity of accountability. Accountability is rarely explored from the perspective of NGO practitioners; as such, it is often presented as a mechanistic process devoid of human engagement. By offering insights into the practitioners' perspective, this inquiry demonstrates the complexity of trying to deliver participatory programmes within complex environments. It highlights how the individuals involved often found the process ethically challenging and how factors such as, stress and the physical environment took a personal toll upon those involved. When considering accountability in challenging environments, the data highlights that greater consideration needs to be afforded to all those involved and the very real practical challenges they face.

Literature on accountability often focuses upon how to demonstrate impact and effectiveness. However, the data generated by this inquiry, highlighted that accountability systems are subject to

standpoints-of- scale, perspectives on significance varied from one accountability actor to another. The concept of *standpoints-of-scale,* gives light to the fact that there is little synergy between the scale of issues which different actors deemed significant. For example, whilst control over session resources was initially overlooked by facilitators, it was an issue of importance to the group members. When given control over resources, PIP group members were able to identify innovative ways to enhance impact and to utilise resources effectively. Recognition of *standpoints-of-scale* raises important questions about how responsible action is defined. If accountability is to be regarded as a system, then one must consider the boundaries of a system, the scale of what is considered important and who should have the right to define the system. The inquiry demonstrated that whilst NGOs and donors might define responsible action in accordance with the outcomes of the project, but, from an early stage, the PIP group members highlighted how process mattered to them.

PROCESS

The inquiry highlighted that change was dynamic, each site was unique, outcome non-linear and events unpredictable, but still *path-dependent*. *Path-dependency* is a concept which emphasises how social and physical interaction is influenced by recent and historic events. As will be discussed, each site of inquiry was affected by different degrees of environmental hazards and local needs. Furthermore, the study highlighted that every person involved was affected by their own personal history. Each group and individual involved had unique contributions to make and challenges to overcome. However, whilst it was noted that change emerged from historic and recent events, it was also recognised that it could not be predicted by them; change was *emergent,* but not predictable.

The facilitators of the group sessions managed to respond to complexity by being flexible, adaptive and reflective. I originally imagined that the practice model would end life as some kind of guide for practitioners, but it rapidly became evident that this would not be possible. Because the facilitators could not predict eventualities, greater attention was afforded to supportive processes. Furthermore, the inquiry highlighted that the participative approach that was adopted aided the response to power and complexity. The PIP group members engaged supported contextual understanding of the complex environment and enabled research to be undertaken safely within the closed slum community. Participation was also essential for changing power dynamics as the process challenged established power dynamics and supported the development of relationships.

This inquiry represents a multi-dimensional action research inquiry which was undertaken within one city, of one country. In order to understand practitioner realities I entered into the inquiry as participant and researcher; whilst this enabled me to explore complex realities that had not previously been highlighted, I acknowledge that this presents challenges in regards to generalisability or reliability. Furthermore, whilst I believe that I managed to develop a practice model which enhanced some forms of accountability, it is a model that had its limitations. Whilst greatly affecting some accountability relationships, the evaluation visit highlighted that it had little or no effect on other forms of accountability. Thus, in many ways, the findings open up more questions than they offer solutions. There is some indication that the practice model may be of use in other challenging contexts, but the limits of the model are unknown. Furthermore, whilst the data indicates that the incorporation of complexity theory might enable further enhancement of the practice model, this is yet untested.

OUTCOME VALIDITY

From a pragmatic perspective the fundamental test of quality and truth is an inquiry's ability to create change. This inquiry changed the lives and practice of those involved. The inquiry led to income generation, it challenged the preconceptions of those who engaged and formed new relationships. The inquiry also demonstrated that participatory youth-led action research can lead to the generation of knowledge within environments that are often viewed as inaccessible to outsiders. Furthermore, the data from the evaluation visit highlighted that the process of inquiry altered the NGO's perception of its beneficiaries and improved the capacity of the PIP facilitators. I started this inquiry with a desire to find a practical means to enhancing NGO accountability. Whilst I attempt to convey the knowledge generated within this thesis, I believe that it would be impossible to ever convey how much I learnt or the change it created in me. Pragmatists believe that all knowledge is generated through action and reflection. This inquiry has led me to believe that the Deweyan-informed approach to action research should be reassessed in regards to what this approach has to offer social work research. As will be discussed, I believe that Dewey's pragmatic approach is in synergy with the values of the social work profession. I assert that whilst his approach is often confused with other strands of pragmatism, Dewey's classical works inform a means to arrive at theoretically informed solutions to practical problems. It is argued that the collaborative and reflective nature of inquiry can support the conduct of ethical participatory research within complex environments. The primary aim of this inquiry was to explore NGO accountability, but this inquiry also offers a methodological contribution to knowledge, as it offers a rare description account of Deweyan-informed accounts of action research undertaken within a complex environment.

OUTLINE OF CHAPTERS

Following this introduction, **CHAPTER 2** begins by describing the NGO sector, its function, size and scale, alongside a discussion of how the term *NGO* originated. The chapter progresses onto the subject of accountability and offers a definition of the term which is adopted throughout this inquiry. Utilising a conceptual framework, developed for the purpose of this inquiry, literature on this subject is explored in relation to the defined types of accountability. The chapter concludes by highlighting current challenges and gaps in knowledge.

CHAPTER 3 begins by highlighting why action research was selected as a methodological approach. As will be discussed, the term *action research* denotes a methodological genre rather than a specific methodology. Within this chapter it is noted that whilst all forms of action research exhibit a commitment to action as part of the research act, the underlying epistemologies, ontologies, methods, positionalities and values can be notably different between different. Whilst this inquiry adopts a multi-dimensional approach to action research, all dimensions of the methodology are informed by the pragmatic approach of John Dewey and from my own values as an international social worker. Following a discussion of pragmatism, the chapter explores how Deweyan pragmatism informed the development of the quality criteria utilised within this inquiry.

Following the general introduction to the methodology, action research and pragmatism, the reader is offered insights to the events which transpired. This descriptive process is undertaken at an early stage, not to disclose the findings, but to highlight the cyclical and emergent nature of action research which informed a gradual methodological development. Following the narrative of events, the methodological dimensions, methods utilised and ethical considerations, are defined. The chapter concludes by demonstrating how to the analysis was informed by a pragmatic view, which emphasises the importance of change and action. This final section of the chapter highlights how the process of analysis was undertaken and the major themes which started to emerge.

CHAPTER 4 and **CHAPTER 5** are focused upon two of the major themes, namely power and complexity. Within *chapter 4* the theme of complexity becomes central. It is highlighted how change appeared to be stimulated by the complexity of the local context, the complexity of the national and global context and the complexity of participation. The chapter also discusses the challenge of implementing in a safe and participatory manner and the impact that complexity had upon the lives of those involved. *Chapter 5* progresses to explore dimensions of power: how power was brokered by the PIP facilitators and how power emerged within the accountability system. Within this section, two different theoretical models of empowerment are highlighted. The third theme, process, is

integrated within both chapters as it relates to the facilitators' response to power and complexity. At the end of each chapter I conclude with a methodological reflection; I explore the influence of my own identity as well as the strengths and limitations of the methodological approach.

CHAPTER 6 highlights how the major aims of this the inquiry were addressed and contribution to knowledge made. Focusing on practice and strategic levels, the chapter illuminates lessons learnt and highlights where further inquiry is needed. Whilst predominantly focusing on NGO accountability, attention is also drawn to methodological contributions to knowledge and how Deweyan informed pragmatic action research offered unique insights to the subject of NGO accountability. The thesis concludes by returning to the primary indicator of outcome validity and the inquiry's further reaching outcomes.

CHAPTER 2: NGO ACCOUNTABILITY

FIGURE 2: PIP GROUP MEMBER READING LITERATURE PRODUCED BY HER GROUP, 2012

AN INTRODUCTION TO NGO ACCOUNTABILITY

This chapter explores the subject of NGO accountability, utilising the literature review method described in **Appendix A1**. It will be argued that whilst there is an extensive range of literature on this subject, both the term NGO and the term accountability are viewed as problematic. The chapter begins by introducing NGOs; definitions, organisational identity, the scale of the NGO sector and major challenges faced. Attention is subsequently drawn to what Jordan (2007) refers to as the wildly popular subject of *NGO accountability*. After offering a general discussion of the term, and the definition that was adopted within this inquiry, a conceptual framework is introduced. Based upon the framework's typologies of downward, upward, horizontal, internal, and *accountability by proxy*, this chapter progresses on to explore the potential actors involved in NGO accountability and the typical relationships that they may have with the NGO. The chapter concludes by highlighting current challenges and gaps in knowledge regarding NGO accountability.

NON-GOVERNMENTAL ORGANISATIONS (NGOS)

The term Non-Governmental Organisation (NGO), in a literal sense, is defined by a negative definition which pertains to all organisations that are not affiliated with a government. Whilst a literal definition would encompass profit-making businesses, commonly the term is used to refer to value-driven organisations. Salamon and Anheier define NGOs as 'self-governing, private, not-for-profit organizations that are geared to improving the quality of life for disadvantaged people' (cited in Lewis and Opuku-Mensah, 2006:47). First used after the Second World War by the United Nations, the term was used to give certain organisations special mandates to support conflict-affected communities (Lewis, 2010; Bendell, 2006; Tilt, 2005). Although the term originates from Europe, it is noted that today 'in the West the term NGO is not used as widely as in Africa' (Pinkney, 2009:7). Whilst, numerous books[2], journals[3] and even university courses[4] are dedicated to the inquiry of these organisations, the term remains contested; as Hilhorst, highlights, 'there is no single answer to the question of what an NGO is, what it wants and what it does' (Hilhorst, 2003:3). NGOs adopt a broad spectrum of activities; ranging from socially driven large-scale civil engineering to humanitarian relief, to environmental protection. As stated by *Gauri et al.* 'NGOs vary widely according to size, activity, religious orientation, their function […], their relationships to donors, their organizational sophistication, and other factors' (Gauri and Galef, 2005:2046).

2 E.g. NGO management by David Lewis (2007), the real world of NGOs by Hilhost (1995)
[3] *An EBESCO document search for journals with the term NGO in their title resulted in 2,248 Results*
[4] *E.g. MA in NGO management, currently taught at the London School of Economics*

Whilst the complexity and subjective nature of the term are acknowledged, for the purpose of this inquiry Martens' (2002) definition was utilised. It was selected as Martens' thesis on the historical, sociological, academic and legal use of the term was recognised as one of the most comprehensive studies of the subject; furthermore, Martens' definition has widely been adopted within academic literature. He states that NGOs can be defined as 'formal (professional) independent societal organisations whose primary aim is to promote common goals at a national or international level' (Martens, 2002:282). Whilst Martens' definition has been adopted in this inquiry, it is also important to recognise that the term NGO can be supplanted, by other authors, for alternatives. These alternative terms tend to reflect legal and historical context from which they originate. For example, instead of the term NGO, *charity* is widely used in the UK, whereas not-for-profit or non-profit organisations are more commonly used in the United States. In the UK, the preferred term, *charity* reflects legally defined quality assurance mechanisms; use of the term is protected in law and controlled by the UK Charity Commission. Noting disparity in global terminology, ***Appendix A1*** defines search terms and approach utilised for the literature review on NGO accountability.

Walker asserts a view that the aid sector represents what is possibly the largest unregulated market in the world. He highlights that, with virtually no regulation in place, the aid sector 'literally deals in life and death issues [spending] thousands of millions of dollars of other people's money' (cited in, Apthorpe, 2011:214). Looking purely at statistics pertaining the size of the US aid sector, it is estimated that in 2011 a total of 26.3 Billion US dollars of aid was distributed via NGOs (Development Initiatives, 2013). Whilst NGOs can be viewed as important actors within the larger aid sector[5], it is noted that they acquire their funds through a myriad of sources; Overseas Development Aid (ODA) represents just one possible avenue for funding[6]. When looking beyond ODA based income, the NGO sector appears even larger. Drawing data from 2011, non-profit organisations [NGOs] in the USA reported revenue of $2.10 trillion USD; from this amount approximately 1.8% was dedicated to international and foreign affairs. Thus, in one year the income generated from US NGOs, spent outside of the US, totalled $28.9 Billion dollars.

The reason why much of the data presented so far originates from the US is due to the fact that not all countries record NGO presence or income. Countries such as the UK or US do make some attempt to register, and track income of, NGOs operating within or from their territory. The global

[5] *Three types of aid are defined by Moyo 2009 (1) humanitarian aid which is especially allocated for humanitarian crisis (2) charity-based aid which refers to aid distributed by charities aka. NGOs (3) systematic aid which represents longer-term development aid given bilaterally, government-to-government or via multilateral organisations such as the United Nations*

[6] *Within this thesis I refer to the NGO sector; I use this term to encompass all NGOs, who may or may not distribute ODA.*

size of the NGO sector is extremely difficult to estimate, as there is no universal mechanism to register NGOs, or NGO funding via sources such as public donations. A lack of regulation, combined with disagreements of definition, means that it is impossible to verify the size of the NGO sector, and few have tried to do so. In 2003, Beloe *et al.* estimated that the NGO sector was valued 'at over $1 trillion a year and [was] employing 19 million paid employees' (2003:11). To date, the NGO sector may be much larger as the size of the sector continues to grow exponentially. Particularly since the 1990s, the sector has grown significantly. As Anheier et al. highlight, 'the 1990s witnessed a booming number of international NGOs, with around one-quarter of those in existence in 2000 having been created in the previous decade' (Bendell, 2006:xi).

ACCOUNTABILITY

In the late 1980s and early 1990s, NGO accountability repeatedly emerged as an area of interest; as a consequence of this, the work and performance of NGOs' attracted increased attention and scrutiny. Authors such as Edwards and Hulme, in their 1996 book entitled *Beyond the Magic Bullet*, highlight how once NGOs were perceived by many to be a *magic bullet,* that would always hit the target, regardless of the direction it was fired in. Aid and development initiatives were seen as a far more effective means of aid distribution than national governments, who were viewed largely to be corrupt or inept. However, by the 1990s many had begun to question assumptions that NGOs, as value-driven organisations, could be unquestioningly relied upon to always hit the target. By 2007, Lewis had written 'long gone are the days when NGOs could simply rely on the moral high ground to give them legitimacy and justify their work' (Lewis, 2007:11). As the NGOs' financial and political power increased, trust in NGOs decreased. As such NGOs were called to account; they were asked to ensure and demonstrate that they were taking responsible action. In 2007, Jordan stated that NGO accountability is 'wildly popular these days for three main reasons: rapid growth, attraction of more funds, and a stronger voice' (Jordan, 2007:152).

Similarly to the term *NGO*, defining *accountability* is not straightforward. It is important to note from the outset that accountability has proved to be an extremely challenging term to define; again, there is no universal definition. However, multiple authors have attempted; Cronin and O'Reagan state that 'accountability is a process through which the stakeholders involved in development aid carry out their responsibilities to undertake certain actions (or not), and to account for those actions' (2002:2010); Edwards and Hulme propose that accountability refers to 'the means by which individuals and organizations report to a recognized authority (or authorities) and are held responsible for their actions' (1996b:967).

The definition of accountability adopted in this inquiry, (shown below) was constructed for the purpose of this inquiry after an extensive literature review on the subject of NGO accountability was undertaken.

Accountability: how responsibility is demonstrated and ensured

As highlighted by those offered previously, most definitions of accountability incorporate some concept of responsible action between two parties. Unlike various other attempts, the definition utilised in this inquiry purposely does not pre-define the actors involved or what is understood by responsibility. When creating the definition I wished to ensure that it was flexible enough to embrace what Unerman and O'Dwyer (2008) describe as *holistic accountability*; an approach to understanding and exploring accountability that acknowledges the multiple dimensions and interpretations of the term. As not to limit conceptual exploration of accountability and to encourage a *holistic approach*, I created a definition of accountability which does not predefine who should be responsible to whom, or for what. As Weisband highlights, if a common understanding of accountability is assumed, form and direction of accountability defined; then one, poses the risk of 'fixating the viewer's understanding of accountability before one has examined who "performs" accountability and how, where, why, under what conditions and with what effects' (Weisband, 2007:307).

My definition of accountability was also intended to be broad enough to encompass both *ex-ante* and *ex-post* forms of accountability. Accountability is most commonly regarded as the need to *demonstrate* responsible action after an event has occurred. The concept of *ex-post* accountability refers to accountability that occurs after the fact (Mcgee and Gaventa, 2010:5). To reflect this concept, the word *demonstrate* was incorporated into the definition to highlight the *ex-post* conceptualisation of accountability. However, as McGee and Gaventa explain, particularly within the NGO sector the concept of *ex ante* accountability emerged, as the NGO community sought more proactive endeavours to ensure good practice in accountability. In a manner, which is uniquely prevalent in the NGO sector, and often contested, accountability is sometimes used in reference to guides, standards, tools and processes which are put in place prior to an event, in order to ensure responsible action is taken (McGee and Gaventa, 2010). In recognition of this approach I use the word *ensure* to highlight *ex-ante* concepts of accountability. Finally, the word *how* highlights a common thread in accountability literature; namely, that the term accountability refers to a process or means, rather than a state of being or end goal.

ACCOUNTABILITY TYPOLOGIES

Documentation on the subject of NGO accountability is extensive, comprising of both academic literature and grey literature produced by the NGO sector. Following the approach highlighted in **Appendix A1**, initial database searches for NGO accountability, resulted in the generation of a huge array of results. The literature found, often articulated contrasting definitions of accountability and focus. Williams and Taylor note that there are 'many different ways of viewing accountability and many different frameworks used to organize and describe the concept' (2012:15). In order to present the literature and to aid conceptualisation, I developed the conceptual framework highlighted below in **Figure 3**. The framework offered, is by no means, the only one available to aid understanding of NGO accountability. However, I chose to develop my own, as alternatives appeared to either be overly complex or did not include certain aspects of NGO accountability; I wanted a simple, visual framework that focused upon accountability relationships in a holistic way.

As highlighted by Brown and Fox, accountability is inherently relational, and therefore 'can only be defined clearly if the actors are specified' (Brown and Fox, 1998:439). In light of this statement, I chose to adopt what is referred to as a principal–agent approach which highlights accountability as a process in which one actor holds another to account. The number of stakeholders involved in NGO accountability can be bewildering as 'the broadest view on accountability assumes that organisations are responsible and accountable to all those upon whom their actions have (or may have) an impact' (Unerman and O'Dwyer, 2006b:357). Accountability actors might include donors, beneficiaries, local communities, staff, board members and the government of implementation. In order to explore and conceptualise NGO accountability, I draw from the work of Najam (1996) who created accountability typologies based upon principal-agent relationships. Effectively Najam created broad typological groupings of actors, in order to explore and define the different ways NGO accountability manifests. Expanding upon his work I define five distinct accountability types:

1. ***Upward* accountability*:*** accountability between the NGO and donors or governments
2. ***Downward accountability:*** accountability between the NGO and beneficiaries or local communities
3. ***Horizontal accountability:*** accountability between the NGO and other NGOs, peers, network organisations, or voluntary organisations who monitor accountability

4. ***Internal accountability:*** accountability between the NGO and itself. Accountability to staff, and the mission, vision and values articulated by the NGO.
5. ***Accountability by proxy:*** an indirect accountability relationship whereby the NGO supports an accountability relationship between two separate actors, such as the accountability relationship between the state and its citizens.

Figure 3 depicts solid arrows where an NGO may owe accountability to another actor. In order to ensure a holistic approach, this typological framework encompasses the notion of *internal accountability*, where an NGO is viewed as being accountable to itself, and *accountability by proxy,* where the NGO's role is to aid the accountability relationship between two separate actors. Within this figure, a dashed arrow represents the indirect relationship evident in *accountability by proxy*. Whilst the diagram represents my original work, most of the terms, with the exception of *accountability by proxy*, are utilised frequently by several authors. Each typology is discussed at greater length in this chapter and summarised within **Table 1**, which is presented at the end of this chapter.

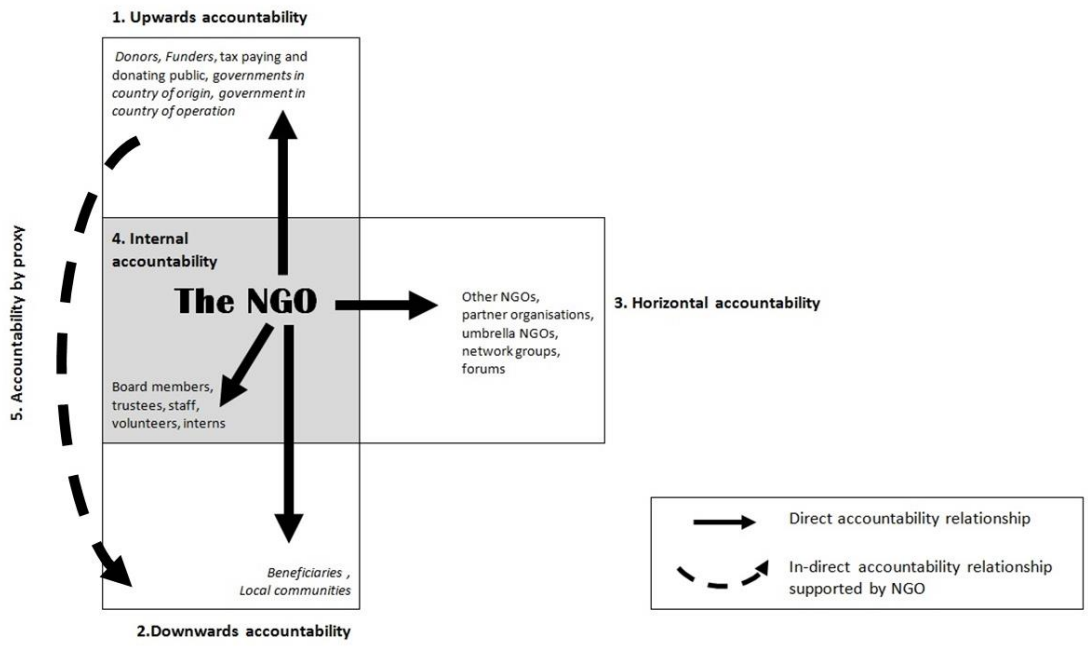


FIGURE 3: NGO ACCOUNTABILITY TYPOLOGIES

(WILLIAMS, 2014: DESIGNED AS A CONCEPTUAL FRAMEWORK FOR THIS INQUIRY)

The design of the accountability types enabled me to develop a common language for discussion, as general types of accountability relationships were discussed, rather than specific conceptualisations of accountability which would vary from one actor to another. As will be discussed in the methodology section, the typological framework was utilised as a tool to aid interviews and analysis during this inquiry. The framework meant that interviews on accountability could be held without the need to identify specific actors; a factor which aided confidentiality and anonymity.

UPWARD ACCOUNTABILITY

Upward accountability is a typological term that can broadly be defined by the relationship between an NGO and a more powerful stakeholder. Cavill and Sohail relate this type of accountability as one pertaining to 'donors, funders, boards of trustees, and host government' (2007:231). This type of accountability often focuses on *ex-post* accountability, which is utilised to demonstrate responsible expenditure of funding, after the event. The emergence of upward accountability has been associated by some authors (Dillon, 2004;Mawdsley *et al.*, 2005: Desai and Imrie, 1998) with *new managerialism,* or the *new policy agenda,* which gained popularity in the 1980s and 1990s. As Darcy highlights, these management theories adopted a market-driven model of providing social services; he states that they employ 'models of consumer and contractual rights to define relationships and practices' (Darcy cited in Deloffre, 2010:178). Throughout the 1980s and 1990s, these business-like approaches found their way into aid and the NGO sector, predominantly via the UK and US foreign policy and aid disbursement systems which promoted this approach. In order to attain competitive funding in an increasingly crowded sector, many NGOs found that they were required to demonstrate accountability, in much the same way as a private contractor or business.

In this inquiry, the term *donor* is utilised to indicate any individual or organisation who donates funds to the running of the NGO in question. Thus, donors may include public and private individuals, religious institutions, trusts and foundations, corporations and businesses, bilateral donors[7], multilateral donors[8] or International NGOs (INGOs). Authors such as Lewis (2007), Ebrahim (2002), and Edwards and Fowler (2002) highlight the complexity of the relationships between NGOs and their donors. Funding relationships in the NGO sector are notoriously complex and identification of donors is not always straightforward. ***Figure 4*** utilises Mitchel *et al.'s* diagram of funding for humanitarian NGOs, to highlight the complexity of funding. The dashed lines in *figure 4*

[7] ***Bilateral donor****: bilateral donors usually refers to the aid branch of a government, such as the UK Department for International Development (DFID) or the United States Agency for International Development (USAID)*
[8] ***Multilateral donor****: refers to multilateral institutions such as the World Bank or the United Nations*

have been added to the diagram to highlight, the fact that whilst funding may be given directly from the general public to the NGO, funds may also pass through seven or more separate stakeholders before reaching affected populations.

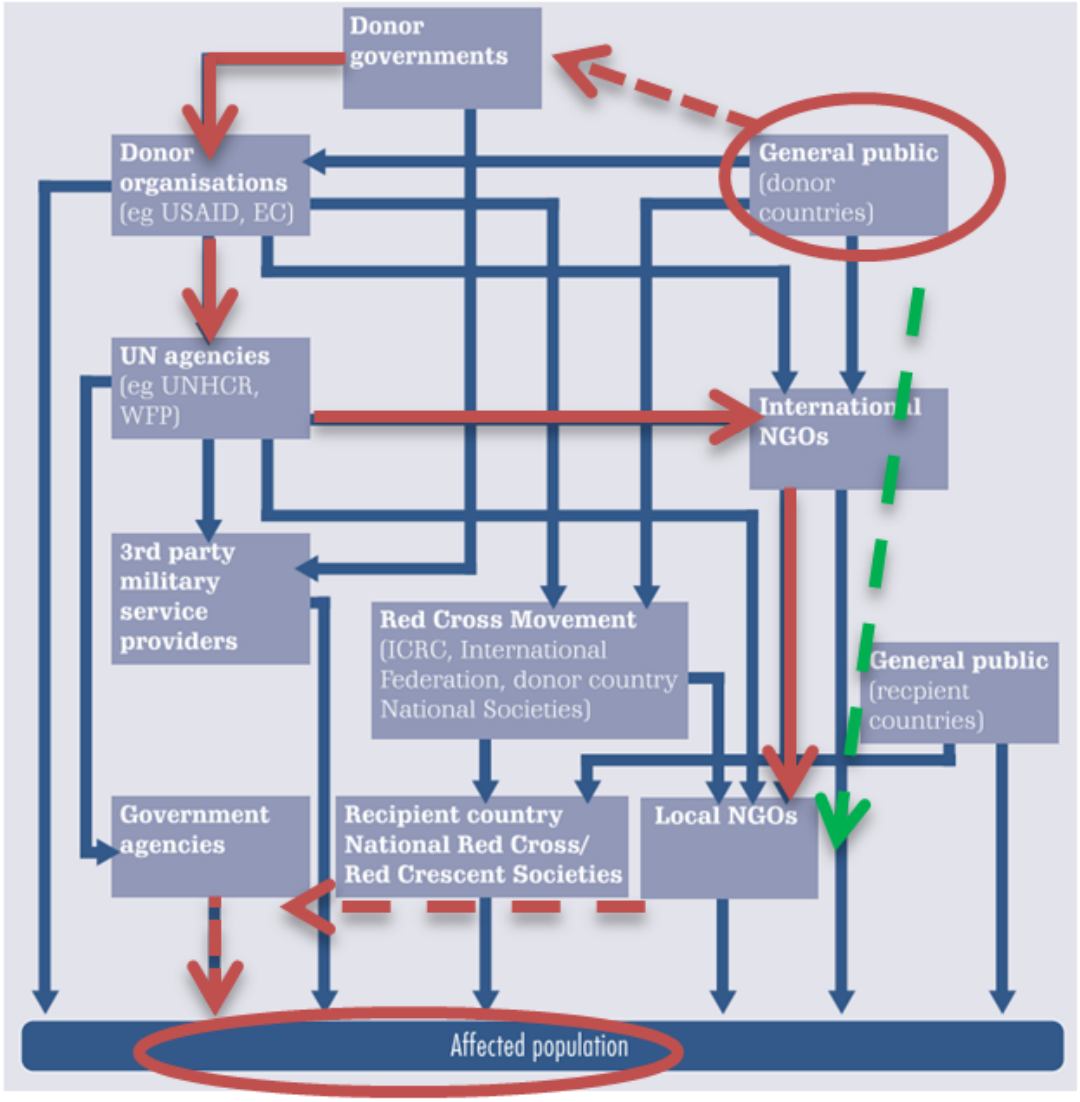


FIGURE 4: COMPLEXITY OF AID FUNDING

(ADAPTED FROM OECD CITED IN MITCHEL ET AL., 2009:42)
[NOTE: DASHED LINES SHOW MY ADDITIONS TO THE ORIGINAL DIAGRAM]

Figure 4 indicates that local NGOs sometimes act as implementing partners for larger INGOs, which may receive their funds from UN agencies. Furthermore, local NGOs sometimes work with local officials, and government agencies to implement projects, as this can be viewed as a means of enhancing local ownership. It is also noted that local NGOs usually receive their funds via multiple routes. With every link in the chain, the complexity of accountability increases as each actor will

have their own accountability demands and expectations. It is noted that for many donors, the concept of responsible action has been related to the Millennium Development Goals (MDGs)[9]. Derived from the Millennium Declaration and adopted by UN member states in 2000, the MDGs were created to provide a time-bound target through which progress could be measured. It is noted that for many, aid planning and evaluation has been integrally related to attainment of the MDGs. As Ramalingam stated in 2013, 'today a number of major agencies—including many donors, all UN agencies, and most NGOs—judge the overall value of their activities on the basis of their contribution to the Goals' (Ramalingam, 2013:55).

When acting as an implementing partner for larger INGOs, multilateral or bilateral donors, it is noted that accountability obligations may be transferred as a condition of funding. Often stipulated within contracts and enforced through contractual law, local NGOs may be required to adhere to the accountability demands of numerous donors. There is often no communication between different donors and no guarantee that accountability demands will be aligned. Whilst *upward accountability* to larger NGOs, multilateral or bilateral donors is usually clearly defined within contractual obligations, *upward accountability* to the donating public is often far more obscure. In order to exhibit legitimacy, many NGOs choose to demonstrate responsible action via public media; effectively the media can be utilised as a mechanism to demonstrate accountability. Whilst NGOs often attempt to use the media as a means to demonstrate responsible action to the general public, there is often an evident dichotomy. As Lee states, 'the need to raise funds often leads to a distortion of an NGO's actions because, just as businesses, NGOs rely on "what sells" in order to stay in business' (ONTRAC cited in Lee, 2004:10). NGOs have been criticised for producing images which may objectify, disempower and offend their beneficiaries and for the over-simplifying presentation of work to the point of deception. In response to this critique some NGOs have voluntarily ascribed to media code-of-conducts, such as, the DOCHAS code-of-conduct for images and messages or the code-of-conduct for charity advertising. These voluntary codes-of-conduct are intended to ensure that 'accountability to people in developing countries stretches to the images and portrayal of their situation in the North (Cronin and O'Reagan, 2002:41).

Whilst the name infers that NGOs must be Non-Governmental, the boundary between NGOs and governmental (public sector) organisations is increasingly becoming blurred. Unerman and O'Dwyer note that 'NGOs are increasingly moving into areas of service provision vacated by the state'

[9] *GOAL 1 | Eradicate extreme poverty and hunger; GOAL 2 | Achieve universal primary education; GOAL 3 | Promote gender equality and empower women; GOAL 4 | Reduce child mortality; GOAL 5 | Improve maternal health; GOAL 6 | Combat HIV/AIDS, malaria and other diseases; GOAL 7 | Ensure environmental sustainability; GOAL 8 | Develop a global partnership for development*

(Unerman and O'Dwyer, 2006a:307). Furthermore, the relationship between NGOs and the state may further become entangled, as the only legally mandated accountability relationship that many NGOs may have, is related to the government in their country of origin or operation. Whilst accountability demands made to are rarely a legal requirement, the need to ensure and demonstrate responsible action to the government can be enshrined within national law. When an NGO operates in one country, or several countries, but is founded in another, they may be legally held to account by to two or more governments. As Murtaza highlights, 'international NGOs face an additional process of accountability—the one managed by the home countries in which they are registered' (Murtaza, 2011:116). Numerous countries such as the UK and US legally require the registration of NGOs that are based in their country. Registration is usually required even when NGOs predominantly operate outside of the country. In the UK, NGOs can apply for special legal status by attaining Charity Commission registration. In order to acquire the status of a charity, the Charity Commission requires registered NGOs to make certain strategic plans and financial documents a matter of public record. As mentioned, when working across international boundaries, NGOs may find that they must register both in the country of origin and the country of operation. However, there is no global system to ensure that the accountability demands of both governments will be conducive to each other, thus, an NGO may find that the accountability requirements it is subject to may not be aligned.

DOWNWARD ACCOUNTABILITY

Downward accountability is a term utilised to describe the accountability relationship between the NGO and its beneficiaries or local communities. Jacobs and Wilfred state that the term is used to refer to 'where a less powerful actor (such as an intended beneficiary) uses accountability mechanisms to influence the actions of a more powerful actor' (Jacobs and Wilford, 2010:799). The concept of *downward accountability* predominantly emerged within the NGO sector as a result of the events which took place in 1994, the Rwandan genocide and the events which emerged thereafter, marked a crucial juncture in the way NGO accountability was considered. As highlighted by the 1996, *Synthesis Report on Lessons Learnt from Rwanda*, vast numbers of individuals fled their homes for protection, as a consequence of the Rwandan genocide which killed between 500,000 and 800,000 individuals. Subsequent to this exodus, it was estimated that between 80,000 and 100,000 Internally Displaced Persons (IDPs) and refugees died within camps located in Rwanda, Tanzania and the Democratic Republic of the Congo (DRC)[10]. As a result of a massive cholera

[10] *At the time the DRC was called Zaire*

outbreak and tribal killings that occurred within camps, survivors became victims once more. It is not possible to verify the precise number, or to unequivocally determine the major cause of death, but, it has been suggested that up to fifty thousand preventable deaths were caused by NGO failures in practice and mismanagement (Lee, 2004). The Synthesis Report stated:

> *that whilst some NGOs behaved professionally and compassionately, 'other NGOs performed in an unprofessional and irresponsible manner that resulted not only in duplication and wasted resources but, in a few egregious cases, in unnecessary loss of life' (Eriksson et al., 1996:57)*

The Synthesis Report asserted that critical failings primarily lay with the international community's overall response in the political, diplomatic and military domains. The mismanagement of events by the NGO sector was highlighted as a significant contributing factor. As the phrase 'never again' became synonymous with the events described, calls for enhanced accountability started to emerge from within the NGO sector. As Ramalingam highlights, 'In the wake of the 1994 genocide in Rwanda and the tragic failures of aid in that crisis, international agencies combined to create a variety of mechanisms to strengthen accountability, performance, and learning' (Ramalingam, 2013:117). Subsequent to the publication of the 1996 report, a range of standards, codes-of-practice and accreditation systems emerged in response to the recommendations made.

As a result of the Synthesis Report highlighting ethical, technical and managerial failures, various *ex-ante* accountability mechanisms were designed at this time, in an attempt to ensure that these failures were not repeated. Four *ex-ante* accountability mechanisms have gone on to widespread use in the NGO sector. They are; (1) the SPHERE[11] standards, which offer primarily technical standards for humanitarian relief, such as the minimum amount of water required for each individual per day; (2) the Humanitarian Accountability Partnership (HAP) standards, which focus on NGO management, complaints mechanisms and *downward accountability* to affected communities; (3) the people-in-aid standards, which focus on human resource management; (4) the International Committee of the Red Cross (ICRC) code-of-conduct, which defines humanity, neutrality, impartiality and independence as the guiding ethical values of humanitarian work. It is important to note that the events in 1994 led to a shift in the narrative of accountability; rather than focusing solely on donors and financial management, it was recognised that beneficiaries of aid are owed accountability. The HAP standards, in particular, demonstrate a commitment to downward accountability; they assert that being accountable to crisis-affected people, 'helps organisations to develop quality programmes that meet those people's needs' (HAP, 2010:1). One of the HAP

[11] *'SPHERE' does not appear to refer to any acronym.*

standard's six benchmarks is dedicated to participation; it is an indication of a belief that accountability necessitates that communities and beneficiaries are involved in project planning, implementation and evaluation. Participation is defined by Fowler as 'a process through which stakeholders influence and share control over decisions and resources that affect their lives' (Fowler, 1998:16). Whilst the HAP standards are focused solely upon humanitarian[12] work, participation is often viewed as the primary mechanism for *downward accountability* within the NGO sector. Oxfam (2014) asserts that accountable monitoring and evaluating means 'working together with communities to decide what success looks like in the context of any project and how we would measure it' (2014:18).

HORIZONTAL ACCOUNTABILITY

The HAP standards, which might be viewed as a mechanism to aid *downward accountability*, are linked to an accreditation system and quality mark. Described by Gugerty and Prakesh (2010) as *accountability clubs,* the authors note a growing trend to demonstrate accountability in a voluntary manner; they state that accountability clubs are 'rule-based institutions that create standards for behaviour, regulate membership and enforce compliance' (Gugerty and Prakash, 2010:5). Whilst the HAP standards might be used as a mechanism for *downward accountability*, the associated accreditation system might be better regarded as a mechanism for *horizontal accountability*, as they are utilised in a voluntary relationship between an NGO and a governing body. Cavill and Sohail define *horizontal accountability* as accountability to 'peers and fellow professionals in terms of meeting shared values and standards to uphold the standards and reputation of the sector' (Cavill and Sohail, 2007:231). Mechanisms devised by these accountability clubs are often utilised amongst peers to define and enhance good practice in many programmatic or subject-specific areas, such as, response to HIV or assistance to former child combatants. Furthermore, countries such as Uganda[13] have created voluntary national accountability standards.

Whilst multiple voluntary accountability mechanisms vie for prominence, it is noted that there is no universal or global system for NGO accountability. Whilst one may argue that *horizontal accountability* has arisen from an altruistic desire, it may be naive to underestimate the importance of competition in driving this form of accountability. As stated by Schmitz, with the NGO sector rapidly growing in size 'an increasingly crowded marketplace creates incentives for individual

[12] It is noted that whilst many NGOs implement both work and funding, the NGO sector is often divided between emergency 'humanitarian' and non-emergency 'development' work.
[13] The national voluntary accountability system utilised in Uganda is supported by the government. It is known as the Quality Assurance Mechanism or QuAM

organizations to distinguish themselves using positive ratings of external watchdogs or certification systems' (Schmitz *et al.*, 2012:5).

INTERNAL ACCOUNTABILITY

Internal accountability refers to the NGO's accountability relationship with its staff, volunteers, and board members, as well as, accountability to its own articulated mission and values. Unlike all other types of accountability expressed in this inquiry, it does not represent a form of external accountability to another accountability actor. Internal accountability, or the equivalent term *inward accountability*, refers to an NGO's accountability relationship to itself. This form of accountability, which has only recently been recognised in academic literature, represents a view that NGOs should be 'inwardly accountable to themselves for their organisational mission, values and staff' (Lloyd, 2005:3). The concept is viewed as giving direction and purpose to programming, ensuring and demonstrating responsible action which is in accordance with the NGO's mission and vision. It is noted that as various NGOs describe themselves as being explicitly *rights-based organisations,* there are particular implications for these organisations in regards to *internal accountability*.

Rights-based NGOs take their name from a commitment to the principles and values articulated within human rights covenants and declarations. Human rights 'are a set of internationally agreed legal and moral standards. They establish the basic civil, political, economic, social and cultural entitlements of every human being' (Theis, 2003:3). The *Universal Declaration of Human Rights* (UDHR) is generally considered the cornerstone of what many regard as human rights. However, the UDHR is often referred to in conjunction with the *International Covenant on Economic, Social and Cultural Rights* (ICESCR) and *the International Covenant on Civil and Political Rights* (ICCPR) which together are often called '*the International Bill of Human Rights'* (Theis, 2003). Subsequent to the International Bill of Human Rights, various other conventions, protocols or charters were introduced globally and continue to inform and define understanding of rights[14]. It is important to highlight that adherence to conventions, protocols or charters is not automatic; ratification by a government is required to demonstrate a commitment to these documents. As such, NGOs that work across international boundaries may note that legally ratified rights may differ from one country to another.

[14] Examples include: the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW); the Convention on the Rights of the Child (CRC); the African Charter on the Rights and Welfare of the Child.

Fundamentally a *rights-based* approach 'promotes three main principles: the accountability of duty bearers, the participation of right holders, and equity / non-discrimination' (Theis, 2003:3). Rather than gap filling, a *rights-based* NGO works by 'exposing the roots of vulnerability and marginalization and expanding the range of responses' (CARE, 2005:1). In comparison to *needs-based* NGOs, they call for 'existing resources to be shared more equally, […] assisting marginalised people to assert their rights' (Nyamu-Musembi and Cornwall, 2004a:2). Authors such as Eyben and Ramanathan argue that what is at the heart of a *rights-based* approach is an impetus for the stakeholders involved 'to engage reflexively with issues of power' (Nyamu-Musembi and Cornwall, 2004a:3). For *rights-based* NGOs, *internal accountability* may bring to light new issues. For example, if an NGO is to be held to account against its own commitment to a *rights-based* approach it must examine how a *rights-based* approach is integrated into its own governance and programming.

The final aspect of internal accountability, within this introductory section, refers to the NGOs need to ensure and demonstrate responsible action to its staff. Whilst this dimension of accountability receives little attention in literature, it is widely accepted that an NGO has an obligation to ensure and demonstrate responsible action in relation to its treatment of staff. Also developed as a result of the events in 1994, the People-in-Aid code 'was devised as a method to ensure that agencies' philosophy of humane action and human welfare embraces their employees as well as the recipients of aid' (Cronin and O'Reagan, 2002:43). The people-in-aid code of conduct is regarded as another significant accountability standard and mechanism within the NGO sector.

ACCOUNTABILITY BY PROXY

When considering who is accountable to whom, it is noted that NGOs may take on a unique role from a *rights-based* perspective. Programming with a *rights-based* NGO should focus upon the fulfilment of rights as opposed to needs gap or immediate needs filling. As such, supporting oppressed and marginalised individuals to hold duty-bearers to account may become an integral part of the NGO's work. The typological term *accountability by proxy* was created for the purpose of this inquiry, to define a subset of literature that arises from a search of NGO accountability but which does not fit with the other categories defined so far. *Accountability by proxy* pertains to the NGO's potential role in supporting rights holders to hold duty-bearers to account. The term is similar to what Rubenstein (2007) defines as *surrogate accountability* which 'involves a stakeholder—a surrogate—who substitutes for accountability holders during one or more phases of the accountability process' (Rubenstein, 2007:617).

In the discussion of internal accountability, it was highlighted that *rights-based* NGOs may be subject to special consideration due to their explicit commitment to values. When considering *accountability by proxy*, again it is argued that special consideration is required as the NGO's primary function might be to support the accountability relationship between different actors. Authors such as Jordan assert that the subject of accountability can in itself be approached from a *rights-based* perspective. As highlighted by O'Neil 'from a human rights perspective, accountability is about the relationship between a bearer of a right or a legitimate claim and the agents or agencies responsible for fulfilling or respecting that right (O'Neil et al. 2007:4). Arguably 'rights frame the possibilities for making claims, and accountability frames the relationship between stakeholders and institutions that are necessary for these rights to be realised' (Newell and Wheeler, 2006:28).

There is a significant history of *rights-based* NGOs supporting this type of accountability. For example, Schmitz highlights that 'advocacy organizations emerging in the 1960s and 1970s developed and perfected strategies of 'naming and shaming' to mobilize against human rights abuses and environmental destruction' (Orenstein and Schmitz, 2006:6). Whilst NGOs may act independently, the process of naming and shaming has also been formalised by various UN bodies. One example of this is evident in the implementation of the UN's *Monitoring and Reporting Mechanism* (MRM) which was designed to protect children during armed conflict. In 2005, the UN Security Council (UNSC Res. 1612) established a *Working Group on Children and Armed Conflict* which introduced the MRM and its relevance to the six grave violations[15]. In 2009 UNSC Res. 1882 further expanded and strengthened the MRM and introduced the Secretary-General's '*naming and shaming list*' which reports and publishes known violations by governments or other perpetrators. Because many NGOs have a special and direct relationship to communities they are often viewed as having a distinct role in supporting this accountability function. As such, NGOs may volunteer or be requested to report incidents to support compilation of this list. Whilst governments are regularly held to account for human rights, it is noted that within every country the government may choose to ascribe to and ratify specific rights, whilst refraining from ratifying or articulating exclusions to others. As highlighted in **Appendix A4**, which lists all human rights conventions relevant to Uganda, the government of Uganda, to date, has chosen not to ratify the CEDAW optional protocols.

The literature on NGO accountability highlights that NGOs have not only played a part in holding governments to account on behalf of their citizens, but have also held to account other powerful

[15] ***The six grave violations:*** *1. Killing or maiming of children; 2. Recruitment or use of child soldiers; 3. Rape and other forms of sexual violence against children; 4. Abduction of children; 5. Attacks against schools or hospitals; 6. Denial of humanitarian access to children (The United Nations Special Representative for Children, 2009)*

actors, such as corporations and donors. As the NGO sector grows in size and stance, there are increasing incidents of where NGOs have focused on holding businesses to account. From advocating against factories that employ children, to oil companies who violate land rights, 'corporations are being called upon to account for their actions that affect society and the natural environment more and more. At the forefront of many of these calls are various non-government organisations (NGOs)' (Spar and Mure cited in Tilt, 2005:2). In recent years there have been explicit calls to redress the normative power relationships evident in aid; as a result, various NGOs have refused funding from actors that are seen to assert undue power and influence over their operations. 'Oxfam-America, for example, refuses to take government money on the grounds that the government may insist on advancing its purposes rather than those of Oxfam's clients' (Brown and Moore, 2001:8).

Whilst one method to avert undue pressure is to refuse funding, another approach has been to introduce the concept of mutual accountability, which articulates a desire to create two-way and equal accountability. Jordan defines mutual accountability as 'accountability among autonomous actors that is grounded in shared values and visions and in relationships of mutual trust and influence' (2007:95). The concept of *mutual accountability* emerged as a major theme from the Organisation for Economic Co-operation and Development's (OECD) high-level discussions on aid; 'On 2 March 2005 over one hundred donors and developing countries agreed in Paris to undertake some landmark reforms in the way they do business together' (OECD, 2005:1). In what became known as the *Paris Declaration on Aid Effectiveness*, signatories 'put recipient country ownership at the heart of a new vision for effective aid […], and established mutual accountability between donors and recipients as a key principle of development cooperation' (Mulley, 2010:19). The *Paris Declaration* led to initiatives such as *Sector-Wide Approaches* (SWAps), the *Good Donorship Code-of-Conduct* and to various donor monitoring systems; accountability mechanisms which are further defined in **Appendix A4**. Whilst the term *mutual accountability* is used predominantly to refer to a donor's accountability to recipient governments, it is noted that the *Paris Declaration* highlights that NGOs have a role to play in supporting beneficiaries to hold donors to account.

	1. Upward accountability		2. Downward accountability	3. Horizontal accountability	4. Internal accountability	5. Accountability by proxy		
Who is accountable?	The NGO		The NGO	The NGO	The NGO	Donors	governments	businesses
Who are they accountable to?	Donors	Governments	Beneficiaries Local community	Other NGOs, partner organisations, umbrella NGOs, network groups, forums	The NGO *(Board members, trustees, staff, volunteers, interns)*	Beneficiaries Local community		
Examples of What are they accountable for?	*Programme / project impact; use of financial resources; participation; sustainability; impact towards governmental or international targets (e.g. Millennium Development Goals); adherence to agreed standards; local collaboration – especially in planning and design; adherence to local and international law; responsible conduct.*		*Participation; programme design; beneficiary selection; programme/ project impact; use of financial resources; responsible conduct; response to complaints; sustainability; adherence to agreed standards; delivering feedback*	*Responsible conduct; knowledge dissemination; collective advocacy; adherence to agreed stands*	*Organisational mission, vision, values; programme / project impact; participation; use of financial resources; organisational learning; organisational development; adherence to agreed standards; employment equality; security; fair conduct; staff training; capacity building; adherence to agreed standards.*	*Programme / project impact; use of financial resources; participation; sustainability; impact towards governmental or international targets; adherence to agreed standards*	*Observance of human rights; governance; government policy; aid impact; use of financial resources; the right to free association; the right to free speech*	*Fair trade; respect of human / employment rights; environmental responsibility ; social responsibility*
Examples of How are they held to account?	*Contractual agreements; reporting; performance assessments; monitoring and evaluation (M&E); independent evaluations; audits; Results Based Management (RBM); logical framework analysis; accountability frameworks; public media; annual reports.*	*Public media; publicly available evaluations; self-regulation; legally mandated NGO registration and/or regulation.*	*Participation; participatory monitoring and evaluation; complaints and feedback mechanisms; community-based consultations; employment of local staff; self-regulation; social audits*	*Conferences; publications; joint impact assessments; self-regulation systems.*	*Reports; strategic planning; internal and external evaluation; staff meetings and workshops; internal self-regulation; contractual agreements; self-regulation; annual reports; training; supervision; human resources policy.*	*Programme reporting; advocacy; research conducted by independent watchdogs; consultation*	*UN naming & shaming; human rights reporting; pressure groups; advocacy campaigns; public media*	*Public naming & shaming; environmental and social reporting; pressure groups; advocacy campaigns; public media.*

	1. Upward accountability	2. Downward accountability	3. Horizontal accountability	4. Internal accountability	5. Accountability by proxy
Similar terms			*Sideways accountability: Ospina et al. (2002), Cribb (2005)*	*Inward accountability: Lloyd (2005); Murtaza (2011)* *Accountability to themselves: Najam (1996)*	*Surrogate accountability: Rubenstein (2007)*
Authors who specifically use typology	*Authors who utilise both upward and downward accountability: Agyemang et al. (2009); Bendell, (2006); Ebrahim (2003, 2010); Cronin and O'Regan (2002); Dillon (2004); Eyben (2008); Guijt (2007); Jones (2011); Kilby (2006); Lee (2004); Lloyd (2005); McGee and Gaventa (2010); Murtaza (2011); Ramalingam (2013); Rubenstein (2007); Schmitz et al. (2012); Songco (2003); Unerman and O'Dwyer (2006, 2007, 2008, 2010)*		*Eade and Literingen (2001); Cavill and Sohail (2007)*	*Ebrahim (2003,2010); Goppen et al. (2003); Goetz and Jenkins (2002); Guijt (2010); Hammer and Lloyd (2011); Najam (1996); O'Dwyer and Unerman (2007,2008); Szporluk (2009); Tilt (2005); Whitty*	*Typology developed for use in this inquiry*

Table 1: Accountability typologies

GENERAL CHALLENGES AND GAPS IN CURRENT KNOWLEDGE

MULTIPLE SUBJECTIVE VIEWS

Much of the critique on accountability acknowledges the highly subjective and context specific meaning of the term. It is noted that the study of 'accountability has a long tradition in both political science and financial accounting' (Lindberg, 2009:3). With its branches now permeating into various disciplines and contexts, 'the scope and meaning of *accountability* has been extended in a number of directions well beyond its core sense of being called to account for one's actions' (Mulgan, 2000:555). Dependent upon education, geography and experience people view and conceptualise accountability differently. Newell and Bellour state, accountability 'has become a malleable and often nebulous concept, with connotations that change with context and agenda' (Newell and Bellour, 2002:2). Whilst NGOs may strive for accountability, the fact that there is no universal agreement on what this means implies that they are unlikely to attain this task. In reality, NGOs do not have a unified definition of accountability which means that they are aiming for a target that has not yet been defined.

Accountability may have become a victim of its own success; when once there may have been a dearth of attention given to this subject, in the present day the over-emphasis on accountability, may, in fact, cause confusion and inhibit work on this subject. It is argued by many authors that one of the key challenges of NGO accountability is the proliferation of tools, guidance and mechanisms, not the lack of them. Excessive accountability systems are viewed as stifling action and preventing productivity; Ebrahim, for example, states that we must 'question the normative assumption that such regulatory accountability is necessarily *good* by asking whether there is a danger of *too much* accountability' (Ebrahim, 2003b:192). Because of the opaque nature of the NGOs and subjective meaning of accountability, it is difficult to quantify the exact number of accountability mechanisms that have been produced. However, in 2014, the One World Trust's database of accountability mechanisms listed 309 mechanisms. Exploring accountability mechanisms that are applied in a humanitarian context, Cosgrave (2013) stated that mapping exercises by the Humanitarian Accountability Programme (HAP) and the Joint Standards Initiative (JSI) identified 119 quality and accountability mechanisms for NGOs in regards to humanitarian response alone.

POWER INEQUALITY

One of the issues repeatedly highlighted in regards to NGO accountability concerned the evident inequality between different accountability actors. It was noted that whilst NGOs often claim that they are accountable to their beneficiaries; *downward accountability* to local communities and beneficiaries is most often neglected. Despite frequent acknowledgement that *downward accountability* is integral to ensuring and demonstrating responsible action, it is noted by various authors that *downward accountability* is not viewed as a priority and is rarely attained. One reason cited was that the mechanisms prescribed by upward accountability stakeholders often undermine attempts to ensure downward accountability. As noted by Jacobs and Wilford, 'a growing body of research shows that the mechanisms used for *upward accountability* consistently tend to undermine downward accountability' (Jacobs and Wilford, 2010:800). *Power* can be broadly described as 'the capacity, held individually or collectively, to influence either groups or individuals (including oneself) in a given social context' (Smith, 2008:23). In regards to NGO accountability, it is evident that some accountability stakeholders appear more powerful than others; power inequality between different accountability actors is frequently highlighted as an area of concern.

LACK OF PRACTICE-BASED AND CONTEXT BASED STUDIES

Whilst power and inequality was highlighted as an issue, it appeared as though it was not a lack of awareness that limited progress in addressing this issue, but rather, a lack of knowledge in regards to how to make practical realistic changes. A common theme within the literature on NGO accountability is in relation to the apparent practice-theory gap. For example, in a study conducted by Schmitz *et al.* it was found that whilst NGO leaders had aspirations to make accountability more meaningful and integrated, 'these aspirations are rarely put in practice and leaders continue to highlight traditional means such as financial accounting' (Schmitz *et al.*, 2012:1). It is noted that 'accountability in practice is often more problematic than originally anticipated' (Dixon *et al.*, 2006:422). As stated by Lee, accountability mechanisms 'often ignore the context in which NGOs operate, for example by setting unrealistic or immeasurable goals' (Lee, 2004:10). Furthermore, it is evident that 'there is frequently a disjuncture between NGOs' advocacy activities in the UK and their operations and experience in the field' (Collinson, 2002:10). *Upward accountability* continues to be given precedence despite the rhetoric of participation, *downward accountability* or accountability as a tool for organisational learning. Schmitz et al. stated that despite a new understanding of accountability as learning, 'there is little evidence that this type of understanding has much practical relevance for NGO leaders' (Schmitz *et al.*, 2012:23).

The literature also highlighted that a failure to acknowledge the practical implications of accountability was partly responsible for failures of implementation. For example, there is an associated cost to enhancing accountability, which inhibits many NGOs from taking action. In an inquiry of over 600 NGOs, Scholte found that 'accountability processes were seen as being too expensive and time-consuming, and adding little value to their work' (Scholte cited in Murtaza, 2011:112). It is argued that voluntary horizontal accountability, in particular, can be a costly endeavour, diverting funds away from direct implementation. When accountability mechanisms are designed to ensure responsible action, few small NGOs can justify spending large amounts[16] of resources on such a function. As noted by Cosgrave 'the costs of engaging with initiatives, of training staff, and of compliance generally, can be a heavier burden for smaller organisations' (2013:6). It has been argued that costly accountability clubs may, in fact, have an adverse effect on accountability; inability to pay for validation assessments may mean that smaller NGOs cannot attain certification, the result being that funds which stipulate certification as a requirement are monopolised by larger NGOs.

The literature highlights a disjuncture between practice and theory; as Schmitz highlights, NGO leaders exhibit awareness of more complex understandings of accountability advanced in the academic literature, 'but they have rarely actively implemented such new accountability strategies' (Schmitz *et al.*, 2011:23). However, authors such as Hopwood *et al.* (2010) and Unerman and O'Dwyer (2006) highlight, there are very few studies of accountability within specific NGO settings which enlighten us to why the practical implementation of accountability presents such a challenge. Few studies have attempted to account for this disjuncture or sought to understand why individuals choose to act in a manner which is contrary to formalised statements on accountability published by their NGOs. Sinclair asserts that efforts to enhance accountability should recognise and build on 'a more robust and privately anchored experience of accountability' (Sinclair, 1995:234).

LACK OF A HOLISTIC OVERVIEW

Authors such as Hilhorst and Hilhorst (2003), Lewis (2007), Mosse (2013) and O'Dwyer and Unerman (2008) are among few authors who have attempted to look more introspectively at NGOs. As Lewis highlights, from the vast amounts of literature produced in regards to NGOs most sought to enhance practice by looking externally at what actions could be undertaken; he states that 'very little of this literature was concerned with the structure and management of

[16] HAP (2014) state that initial certification audits can cost up to 15,000 CHF (approx. £9,800 GBP). Beyond certification, costs can be attributed to training, monitoring compliance, record keeping and the direct compliance.

development NGOs' (Lewis, 2007:10). In their (2008) inquiry of Amnesty, O'Dwyer and Unerman are amongst the very few authors to focus on an NGO's perspective of accountability; they note that despite the proliferation of literature on NGO accountability there are very few practice-based, or context-specific, studies on accountability. Due to the subjective nature of NGO accountability and the tendency to explore the subject from a particular viewpoint, it is argued that many studies which focus solely on particular types of accountability inevitably miss the true challenge of juggling competing demands. In light of this Ebrahim asserts that 'what is missing from much of the debate on accountability is an integrated look at how organizations deal with multiple and sometimes competing accountability demands' (2003a:815). In defining accountability types, it is evident that NGOs may be held to account by multiple actors, in multiple ways. It is argued that NGOs' greatest challenge is not in their technical ability to manage any one specific type of accountability but in the complexity of managing multiple accountabilities, especially when accountability concepts and expectations are not aligned between actors.

CHAPTER 3: METHODOLOGY

FIGURE 5: PIP GROUP MEMBERS FACILITATING A RESEARCH DESIGN ACTIVITY, 2012

METHODOLOGY INTRODUCTION

This chapter begins by highlighting the aims of this inquiry which were established by giving recognition to the identified gaps in knowledge regarding NGO accountability. Following this discussion, the chapter progresses to note why action research was viewed as an appropriate methodology for this inquiry. As action research pertains not to a specific methodology, but rather to a methodological genre, attention is brought to various forms of action research which are united by a commitment to knowledge generation through action. The discussion focuses on how various action research methodologies can be distinguished by their underlying values and the positionality of the action researcher within the inquiry.

As will be discussed, I adopt a multi-dimensional approach to action research, which consists of ***individual***, ***practitioner-based*** and ***youth-led*** forms of action research. After a general discussion of action research, its strengths, challenges and appropriateness to this inquiry, I move on to discuss the Deweyan pragmatism which underscores all dimensions of the methodology. Within this section, I highlight how Deweyan pragmatism is a value-based approach to philosophical inquiry. Based upon Pierce's pragmatic maxim, which encourages us to *'look to the consequences'*, pragmatists believe that knowledge can only be created through action and experience. As will be discussed, Dewey's work is considered by some to represent the earliest known form of action research. His concept of generating knowledge through a cyclical process of action and reflection is considered to inform the action research cycle; it is argued that this approach is manifest in most forms of action research today. Subsequent to a general introduction to pragmatic thought, I highlight how pragmatism informed concepts of quality utilised within this inquiry. Following this, I move on to the ***narrative of events*** which is utilised to offer the reader a basic introduction to how the inquiry evolved. I describe the events that took place prior to summarising the methodological dimensions, methods, ethical considerations and method of analysis. I decided to adopt this approach to give recognition to the non-linear and evolving process of action research and to introduce key actors and terms before describing the methodology in full. To describe the action research methodology in a manner which did not recognise evolution of the process seemed artificial; however in the narrative of events, I also try not to present changes and actions which contribute to the findings of this inquiry. As such, data is not presented until the findings and methodology chapter.

AIMS OF THE INQUIRY

The literature review highlighted that there is currently a dearth of practice-based studies, studies that adopt a holistic view of NGO accountability and studies that offer practitioners usable knowledge on NGO accountability. Furthermore, it is argued that much of what is written on NGO accountability is too theoretical and not relevant to practice. To address these issues, I felt it was important to explore practitioner experience in as much detail as possible. As highlighted in the literature review, the current gap in knowledge appeared to be related to the experience of practitioners and how they manage accountability on a day-to-day basis, what decisions they make and why, and what factors inhibit or enhance their practice. In order to address the critique that much of what was written was not relevant to practice, I was keen not to just produce another academic paper of proposals which arguably would not work in the real world. As such, I established that it was important to find a functional way to enhance accountability. I wished to adopt an approach which would test and explore assertions of how to enhance accountability. Thus, in response to the gap in knowledge, the main purpose of this inquiry was to explore how NGO practitioners can realistically enhance accountability. The inquiry had two main aims:

1. To explore the experience of practitioners in regards to NGO accountability
2. To identify a functional way in which NGO accountability may be enhanced

ACTION RESEARCH

APPROPRIATENESS OF ACTION RESEARCH

Whilst the *relevance gap* described by NGO practitioners might be amplified by the intensity and diversity of their work, this theory-practice disjuncture is arguably not unique to the sector. Speaking in regards to general management, Fendt and Kaminska-Labbé highlight that there is longstanding and intense awareness 'that the output of theory often fails to have an impact on what practitioners do' (2011:218). In the 1940's Kurt Lewin purposely developed a methodology that he hoped would bridge the theory-practice gap; he called this methodology, action research. The point of action research for Lewin was to 'achieve a closer interaction between social research and praxis' (Johansson and Lindhult, 2008:98). Famously stating that there is 'nothing so practical as a good theory' (1951:169), Lewin brought theory into the workplace and shifted the researcher's role from distant observer to active participant (Greenwood and Levin, 1998:19). Whilst utilising scientific methods and working within industrial settings, it is important to note that from its outset, action research has always been driven by emancipatory aspirations. Lewin describes action research as 'comparative research on the conditions and effects of various forms of social action, and research leading to social action' (Lewin, 1948 cited in Boog, 2003:429). Denscombe highlights, 'action research is essentially practical and applied. It is driven by the need to solve practical real-world problems' (Denscombe, 2007:123). Knowing is not just for knowing's sake and doubt is viewed as a stimulus to the inquiry. This inquiry was stimulated by my own doubt as an NGO practitioner; I wanted to find some type of resolution to the problems I and many others had encountered. As such, the methodology appeared appropriate; not only for its potential to bridge the theory-practice divide but also for its potential to offer practical solutions. It is argued that action research not only generates knowledge but that the process itself has the potential to stimulate organisational change. Burns states that by integrating 'learning by doing' with deep reflection, action research has always held the promise of an embedded learning process that can simultaneously inform and create change' (Burns, 2007:11).

VARIATIONS OF ACTION RESEARCH METHODOLOGIES

Whilst the scientific and experimental form of action research utilised by Lewin may be considered as one of the earliest forms of action research, Coghlan *et al.* highlight that 'action research cannot be classified as one single methodology' (2005:534). Reason and Bradbury describe action research as a family of approaches; whilst distantly related in their explicit commitment to valuing action and

experience, these research methodologies encompass 'different purposes, positionalities, epistemologies, ideological commitments and, in many cases, different research traditions that grew out of very different social contexts' (2006:2). Summative texts on action research, such as Greenwood and Levin's (1994) *'Introduction to Action Research',* Reason and Bradbury's '*Hand Book of Action Research'* (2001), or Anderson and Herr's (2005) *'the Action Research Dissertation'*, encompass a wide range of highly distinctive action research methodologies. Whilst differences between methodologies exist, DePoy *et al.* argue that 'action research is founded on the principle that those who experience a phenomenon are the most qualified to investigate it' (Depoy *et al.*, 1999:561). McTaggart asserts that what distinguishes action research from other research strategies 'lies in the commitment of action researchers to bring about change as part of the research act' (McTaggart cited in Brydon-Miller *et al.*, 2003:15). Lewin's original form of action research incorporated what is referred to as the *action research cycle.* Lewin describes this as a 'spiral of steps, each of which is composed of a circle of planning, action and fact finding about the action' (1946:38). Although there are numerous variations, many action research methodologies still incorporate the action research cycle. The action research cycle highlighted in **Figure 6** is utilised by Coghlan and Brannick (2005). It is just one of numerous pictorial representations of the cycle.

As highlighted by Somekh, action research rejects the concept of a two-stage process in which 'research is carried out first by researchers and then in a separate second stage the knowledge generated from the research is applied by practitioners. Instead, the two processes of research and action are integrated' (Somekh, 1995:340). Action research is carried out by, or with, persons directly affected by the issue under inquiry. However, the focus of inquiry and positionality of the action researcher varies between methodologies. *Action Science*, for example, represents 'a body of work developed over the past two decades primarily by Argyris and Schon' (Reason, 1994:17); this action research methodology focuses upon individual self-reflection. Reason and Bradbury utilise the term *first-person action research*, to define a subcategory of action research addresses 'the ability of the researcher to foster an inquiring approach to his or her own life' (Reason and Bradbury, 2006:xxv). First-person action research is often associated with the concept of reflective practice and praxis[17]. It is argued that reflective practice encourages individuals to reflect upon and utilise their tacit[18] knowledge in order to improve practice. Schon's (1983) book *The Reflective*

[17] McNiff et al. define praxis as 'informed, committed action that gives rise to knowledge as well as successful action' (McNiff et al., 2003:13).

[18] Tacit knowledge comprises of sensory and conceptual knowledge that we acquire through experience; however Polanyi argues that 'we can know more than we can tell' (Polanyi, 1967).

Practitioner 'encouraged practitioners to begin to tap into their store of professional knowledge in order to make it [tacit] explicit and share it with other practitioners' (Anderson and Herr, 2005:22).

Hammond asserts that action research can generate 'both emic (interconnected to the insider) and etic (disciplinary) knowledge'(Hammond, 2013:604). Whilst first-person action research represents an individualistic approach to research whereby the action-researcher is also research participant, other forms of action research are committed to the concept of collaboration. Collaborative Inquiry, developed by Bray *et al.* (2000), is one of several action research methodologies which bring together a group of individuals to undertake an inquiry. Bray *et al.* define their methodology as 'a process consisting of repeated episodes of reflection and action through which a group of peers strives to answer a question which is of importance to them' (2000:6). *Collaborative Inquiry*, alongside Lewin's original methodology, is described by Reason and Bradbury as second-person action research. They state that this type of action research 'addresses our ability to inquire face-to-face with others into issues of mutual concern. […] inquiry starts with interpersonal dialogue and includes the development of communities of inquiry' (Reason and Bradbury, 2006:xxv). In collaborative inquiry and other similar action research approaches the inquiry teams may consist of academic and practitioner participants. In a process, defined as *reciprocal collaboration* by Anderson and Herr, the teams of action researchers aspire to develop a relationship which is mutually beneficial and whereby all actors exert equal power in the inquiry process.

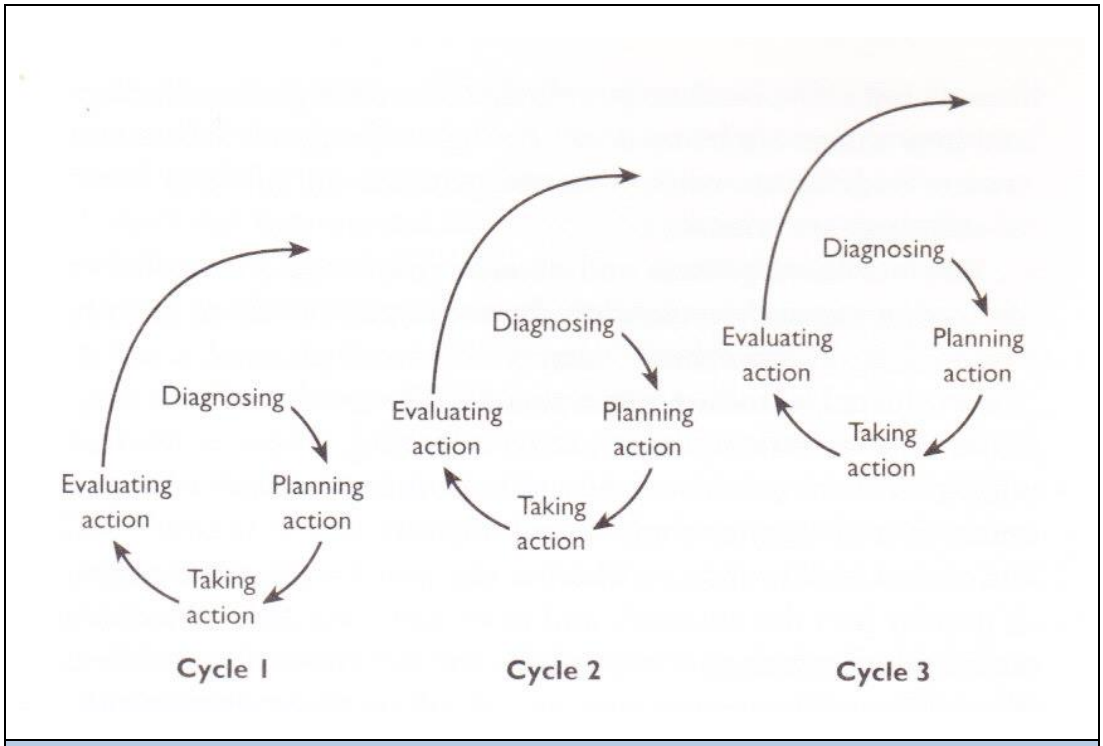


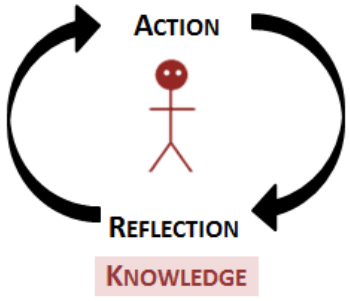
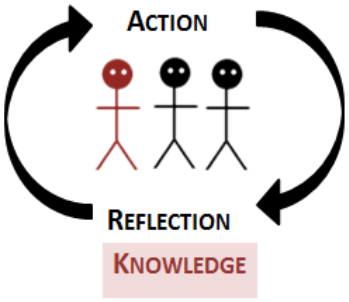
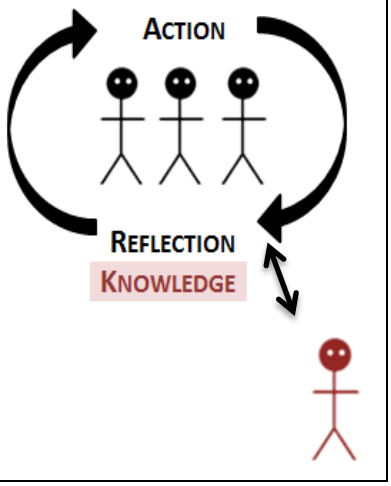
FIGURE 6: SPIRAL OF ACTION RESEARCH CYCLES (COGHLAN AND BRANNICK, 2005:19)

For many action researchers, the distinguishing feature of action research is 'the active and deliberate self-involvement of the researcher in the context of his/her investigation' (Mckay and Marshall, 2001:47). However, Anderson and Herr highlight how the umbrella term of 'action research leaves the positionality of the researcher open' (Anderson and Herr, 2005:3). Whilst the action research methodologies discussed so far place the practitioner-researcher at the centre of inquiry, other forms of action research adopt distinctly different approaches in regards to the positionality of the action researcher.

Brydon-Miller *et al.* assert that a key value shared by action researchers 'is an abiding respect for people's knowledge and for their ability to understand and address the issues confronting them and their communities' (Brydon-Miller *et al.*, 2003:14). In the 1960s and 70s, Freire 'developed community-based processes to support people's participation in knowledge production and social transformation' (Kindon *et al.*, 2007:9). *Participatory Rural Appraisal (PRA*), developed by Robert Chambers (1997) is an action research methodology developed to 'enable local people to share, enhance and analyse their knowledge of life and conditions' (Chambers, 1997:102). As a collaborative, second-person form of action research methodology, *PRA* purposely places external researchers on the extremities of the learning process. PRA argues that 'every individual, regardless of education or status, is capable of research analysis and planning' (Desai and Potter, 2006:192). *PRA* techniques 'are primarily visual, [and] designed for use with illiterate rural communities' (Desai and Potter, 2006:191). Anderson and Herr (2005) highlight that within Freirian-inspired action research approaches the academic research model is challenged at almost every point; the dualisms of macro/micro, theory/ practice, subject/object are collapsed. In this form of action research, the research is often stimulated by an action researcher who is external to the group. As highlighted in **Ref box 1**, in this type of action research methodology the researcher is viewed as an 'outsider' to the action research group, and they become 'less of an extractor and more convener, facilitator and catalyst' (Chambers, 1997:155). The group's knowledge is respected and learning is viewed as primarily being for the benefit of the community involved, rather than for the outsider researcher; 'PRA stands for enhancing the learning, not of outsiders, but 'insiders'' (Kapoor, 2002:104).

Arguably in all forms of action research, there is 'an abiding respect for people's knowledge and for their ability to understand and address the issues confronting them and their communities' (Brydon-Miller *et al.*, 2003:14). For many action researchers, the concept of standpoint is important; as Smith highlights, standpoint theory 'builds on the assertion that the less powerful members of society experience different reality' (Smith, 2009:77). This concept is emphasized within pragmatic reasoning; Dewey asserted that 'the truth value of all judgements is relative to some particular

standpoint […that] no standpoint is uniquely or supremely privileged over all others' (Westacotte cited in Hickman, 2007:52). PRA and other participatory forms of action research, such as *Social Action Research* or *Participatory Action Research*, are often considered as having strong roots in Asia, Africa and Latin America. Developed by authors such as Chambers (1997), Freire (1974), Fals-Borda and Rahman (1991), this type of action research tends to cite critical theory as a more prominent theoretical basis than pragmatism. Furthermore, in contrast to approaches developed in Europe and North America, these methodological approaches often demonstrate a firm ideological commitment to social justice and emancipation. Martin (1994) discusses participatory research, he highlights that is an approach which has 'the explicit intention of collectively investigating reality to transform it' (Humphries, 2008:52)

FIRST-PERSON ACTION RESEARCH	SECOND-PERSON ACTION RESEARCH [RECIPROCAL COLLABORATION]	SECOND-PERSON ACTION RESEARCH [OUTSIDER(S) IN COLLABORATION WITH INSIDERS]
		

REF. BOX 1: POSITIONALITY OF DIFFERENT TYPES OF ACTION RESEARCH

A VARIATION OF ACTION RESEARCH IN SYNERGY WITH MY VALUES

> *The British Association of Social Workers (BASW) states, 'the aims and process of social work research, including choice of methodology, and the use of findings, will be congruent with the social work values of respect for human dignity and worth and commitment to social justice' (BASW, 2002:2014).*

This inquiry was funded by the *Economic and Social Research Council (ESRC)* as a doctorate in social work. In respect to my funders, this inquiry is required to demonstrate sensitivity to the ethical dimensions, reflexivity about their own and others' roles in the research process, a knowledge of the social and political contexts and uses of research and knowledge of and sensitivity to conducting research in emancipatory ways. However, whilst I recognise the importance of funding commitments, I also acknowledge that this research methodology is significantly informed by my professional identity. Authors such as Dominelli (2007), Healy and Link (2011), Herscovitch (2001) and Lyons *et al.* (2006) are among several authors who draw parallels between the work of NGOs, especially *rights-based* NGOs, with the social work profession. Whilst I do identify as an NGO practitioner, I have always been committed to a *rights-based* approach and the values of social justice, human rights, collective responsibility and respect for diversity which are central to the social work profession. As such, I also choose to identify as an international social worker as defined by the *International Federation of Social Workers' (IFSW)* 2014 global definition of social work.

Whilst there is a wide array of action research methodologies I could have drawn from to design this inquiry, I decided to narrow the field, by identifying action research methodologies which I viewed as being in synergy with the values of the social work profession. As highlighted by Butler, 'Good social work research means doing social work research with a confident and robust understanding of the values on which social work itself is predicated' (Butler cited in Smith, 2009:187). As a result of this decision, I began by choosing more emancipatory and participatory forms of action research that demonstrated an equal respect for all those involved[19] and those that I knew were used by social work practitioners to enhance their self-reflection and practice. Upon exploring these methodologies, I noted the importance of critical theory and of pragmatism. Whilst many action researchers note the importance of pragmatism and the work of John Dewey (1859–1952), I found that critically informed action researchers often explicitly rejected pragmatism. However when reading this work in detail, I was able to recognise the importance of Dewey's educational work and an indirect link to pragmatism via critical theorists who were known to have drawn from the work of classical pragmatists. As highlighted by Bernstein (2010), authors such as Apel, Habermas, Joas and

[19] *Such as: Participatory Rural Appraisal (PRA), Participatory Action Research (PAR), Social Action, Critical Action Research and Emancipatory Action Research*

Honneth, who are more commonly regarded as critical thinkers, viewed pragmatism as advancing contemporary philosophical discussion. Furthermore, 'each of them has sought to incorporate and develop pragmatic insights in novel ways' (Bernstein, 2010:23) Dewey's name and pragmatism seemed to emerge again. As an apparent common link, I started to read about pragmatism. As will be discussed, when reading pragmatic works, Dewey stood out as the author who I felt articulated a view most consistent with my explicit values as an international social work practitioner. The repeated reference to Dewey within action research texts is not incidental as Dewey's work is recognised by authors such as Boog (2003) as the first which can be labelled as action research. As such, I felt it was important to return to the classical works in order to thoroughly understand the methodological approach.

DEWEYAN PRAGMATISM

Authors such as Coghlan and Brannick (2005) assert that action research in its traditional sense comes from the work of Kurt Lewin (Lewin, 1946;1948;1951). However, Boog proposes that whilst Lewin is often credited with coining the phrase *action research*, it is, in fact, the work of Dewey that is the first that can be labelled as action research (Boog, 2003:429). Whilst not all researchers note the influence of pragmatism upon their work, authors such as Hammond (2013), Fendt and Kaminska-Labbé (2011) Johansson and Lindhult (2008), and Baskerville and Myers (2004) highlight the close relation between action research and the philosophical tradition of pragmatism. In particular, the action research cycle highlighted previously echoes Dewey's concept that knowledge is created through on-going cycles of action and reflection where rational thought is interspersed with action Dewey (1938a). In arguing for 'the construction and reconstruction of temporally differentiated platforms of action' (Hickman, 2007:53), Dewey is effectively stating that knowledge is never fixed or rigid. He asserts that an ongoing cycle of action and reflection such as the action research cycle highlighted in figure 6 is required. Pragmatism has its origins and is largely informed by the work of Charles Sanders Peirce (1839–1914). Despite a common misconception that the term pragmatism is used to refer to the practical, authors such as Biesta and Burbules highlight that Pierce adopted the term pragmatism in reference to the Kantian concept that describes when knowledge and action are intimately connected (Biesta and Burbules, 2003:6). The cornerstone of pragmatic work is often regarded as being in reference to Peirce's maxim of pragmatism, in which the author encourages us to look to the consequences of an action to discover truth. The maxim states:

> *'Consider what effects, that might conceivably have practical bearings, we conceive the object of our conception to have. Then, our conception of these effects is the whole of our conception of the object' (Peirce, 1878)*

Whilst Charles Sanders Peirce (1839–1914), William James (1842–1910), John Dewey (1859–1952) James Herbert Mead (1863–1931) and Jane Addams (1860 –1935) are all known to have made significant contributions to developing the field of pragmatism, it is Peirce and James who are generally credited with developing pragmatism (Ormerod, 2005). Feminist pragmatists such as Whipps (2013) note that whilst male authors noted are commonly described as the founders of what is collectively referred to as *American* or *classical pragmatism*[20], female authors and the contribution they made are often notably absent. Since the classical pragmatists work in the late 19th and early 20th century, pragmatism experienced a noted unpopularity within the social

[20] *I utilise the term 'classical pragmatism' to collectively describe the work of American pragmatic authors of the late 18th and early 19th century (Inc. female pragmatic authors, such as Addams).*

sciences' followed by a resurgence of interest led by neo-pragmatists such as Rorty and Putman. However, for reasons which will be explained, within this inquiry I found myself particularly drawn to action research methodologies that were directly, or indirectly, informed by the *classical pragmatism* of John Dewey (1859–1952).

CARTESIAN DUALISMS

Dewey's concept of action and experience were viewed as radically different from the ontological[21] premise adopted by other philosophies. Morgan states 'pragmatism presents a radical departure from age-old philosophical arguments about the nature of reality and the possibility of truth' (Morgan, 2014:1050). Dewey believed that much of academic thought and philosophical debate had primarily been centred upon the philosophy of Descartes (1596-1650) who proposed that 'reality consisted of two types of "stuff": res extensa," the "stuff" that occupies space, and res cogitans, the "stuff" that occupies the human cogito (the knowing mind)' (Biesta and Burbules, 2003:9). Consequently, this Descartian dualism has led to extensive ontological debate regarding 'whether there is actually a real world, or what we perceive to be real is instead an individual interpretation' (Evans and Hardy, 2010:18).

Dyson and Brown (2006) note that research is often influenced by the researcher's ontological stance. For example, those who adopt *materialism* as an ontological stance view reality as pertaining to a physical dimension; they believe that 'the world is material and external to the researcher' (Dyson and Brown, 2006:191)[22]. By contrast, a researcher who adopts ontological *idealism* believes in 'the notion that we can study the internal constructs of social actors' (Dyson and Brown, 2006:52). As a consequence, these ontological differences affect choice of method. Researchers aspire to reflect reality as truthfully as possible through their choice of method. From a materialist perspective, 'scientists speak of the ontological adequacy of a theory to denote the extent to which it reflects the reality that it studies' (McKelvey cited in Fendt and Kaminska-Labbé, 2011:221). Dewey flatly refused to consider mind-and-matter, knowledge-and-experience independently, he rejected the 'Cartesian dualism of mind and body, arguing that both existed in a continuum' (Bridge, 2014:1646).

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[21] , 'ontology refers to the claims or assumptions that a particular approach to social enquiry makes about the nature of social reality' (Blakie, 1993:50).

[22] Dyson and Brown utilise the term materialism in a way that gives relevance to empiricism ('A philosophy of research that regards only that knowledge gained through experience and the senses as legitimate' 2006:clxxxii) and positivism ('A research philosophy that advocates the application of approaches equivalent to the natural sciences in the study of social phenomena' 2006:cxci)

'Instead of interpreting the character of sensation, idea and action from their place and function in the sensory-motor circuit, we still incline to interpret the latter from our preconceived and preformulated ideas of rigid distinctions between sensations, thoughts and acts. […] what is wanted is that sensory stimulus, central connections and motor responses shall be viewed, not as separate and complete entities in themselves, but as divisions of labor, function factors, within the single concrete whole' (Dewey, 1896:57).

Dewey did not focus solely on mind or matter. Instead, he believed that we should study the transactions between mind and matter; something he referred to as experience.

EXPERIENCE

Experience is regarded as the action between individuals and the world they inhabit. It is a 'process through which we interact with our surroundings, obtaining information that helps us to meet our needs' (Hookway, 2013:14). Dewey highlights that experience comprises of the transactions between mind and matter; where thinking individuals interact with a physical world. He states 'all conduct is interaction between elements of human nature and the environment' (Dewey, 1922:10). As highlighted by Almeder, whilst there are differences between strands of pragmatism, fundamentally, 'all pragmatists are united in the belief that human existence inherently involves the active practice of making meaning through interaction with our environment' (Almeder cited in Stark, 2014:88). It is argued that knowledge is generated through our transactions; our experiences, which occur within an environing context that consists of both social and physical realities. Dewey notes the importance of the physical environment in stating that 'an experience is always what it is because of a transaction taking place between an individual and what, at the time, constitutes his environment' (1938:43). The social dimension of the environing context is highlighted by Dewey's colleague Mead who notes that human action is socially contextualized and human conceptualisation is a social reflection he states 'we play the roles of all our group […] The inner response to our reaction to others is therefore as varied as is our social environment' (Mead, 1913:377)

The relationship between the individual and their environment is viewed as two-directional. Dewey states that 'Where there is experience, there is a living being. Where there is life, there is a double connexion maintained with the environment' (Dewey *et al.*, 1917:8). He believes that we are simultaneously 'of this world' (shaped by our social environments and history), and 'in this world' (part of the world's physical reality and able to affect the physical environment). Whilst every person's action (agency) is affected by their environing context, influenced by the physical world, historical events and social constructions (structure), every individual is also regarded as having agency; an ability to make choices and to act on them.

FALLACY

The way that Dewey views the world, as comprising of both physical and social realities, means that he believes that is an error in any philosophy that tries to create a false separation between the two. In what he describes as *'the fallacies of misplaced correctedness'* Dewey asserts that Descartian based philosophies either create *philosophic fallacy*[23] by treating subjective thought as sense data, or by failing to acknowledge that sense data is subject to interpretation and social construction (Webb, 2007:1073). As discussed previously, Dewey asserts that when we attempt to reflect some notion of reality, via either a materialistic or idealistic stance, we inevitably 'mistake, conceal, or disguise our selective emphases by privileging agents over situations, static forms over processes, actualities over potentialities' (Fesmire, 2014:k1725). This massively complex and temporal view of reality leads to the view that there are no ultimate truths and that grand theories cannot account for the complexity of the social world; as highlighted by Hammond 'the idea of truth as correspondence to reality cannot be reconciled to pragmatism' (2013:610). Dewey's reflection on the meaning of truth includes a rejection of the idea of an absolute truth which challenges 'the tacit presupposition of much of modern philosophy that the rationality and legitimacy of knowledge require necessary foundations' (Bernstein, 1992:813).

THE KNOWER AND THE KNOWN

Cartesian insistence, that the world should be divided into stuff of mind-and-matter, not only has an impact upon ontology, but also upon epistemology. D'Cruz and Jones highlight, concepts of ontology and epistemology are integrally linked.; they state that, in 'everyday language epistemology means how we know what we know […] ontology is related to epistemology because it refers to how we understand reality' (D'cruz and Jones, 2004:50). Epistemologically, this broadly refers to how the (idealistic) mind of an individual can acquire knowledge from a physical or social reality; thus, epistemology separates the knower and the known. From an idealist point of view, where social reality pertains to the social constructs of the mind, knowledge is generated by the mind of a researcher who attempts to separate and reflect the mind of others.

Pragmatists refuse to separate the mind of the inquirer from the inquiry; they do not separate the knower from the known. Dewey believed that it is the transaction between the two, mind and matter, aka. experience, which is essential for the generation of knowledge. He states knowledge

[23] *Dewey defined this fallacy as 'conversion of eventual functions into antecedent existence' [… he argues when we read useful abstractions like "mind" or "object] we end up with dysfunctional dualisms and pseudo-problems (Fesmire, 2014:k5786)*

'must be had, possessed, enacted, before it can be known' (Hildebrand, 2003:63). In Dewey's (1949) co-authored book with Arthur Bentley, entitled '*Knowing and the Known*', Dewey articulates this belief that the knower cannot be separated from the known; i.e. the mind of the person generating the knowledge cannot be separate from the physical action / experience which generates it. In this work Dewey questions the validity of any approach which creates an artificial separation between experience and knowledge. He states 'a "knower," he must have something to know; but he is cut off from it by being made to appear as a superior power' (Bentley and Dewey, 1949:142). As Fesmire highlights, within pragmatist thought, 'the knower is an active participant in what is known, not an outside spectator of it or passive receptacle' (Fesmire, 2014:k2254). In pragmatist thought, experience and action takes centre stage; as highlighted by Greenwood and Levin, Dewey believed that 'the only real sources of knowledge are to be found in action not in armchair speculation' (1998:73). Deweyan pragmatists ultimately 'reject the view that the sources of knowledge or the norms thereof are derived from locations that are outside of experience itself' (Hickman, 2007:53). Arguably, reality can never be captured or reflected, it must be experienced. For Dewey, 'knowing is literally something which we do; that analysis is ultimately physical and active' (Hildebrand, 2003:5).

CYCLES OF ACTION AND REFLECTION

Dewey states, 'experience is the complex interplay and transaction of one-as-participant-and-product of the world' (Hildebrand, 2008:64). For Dewey, the process of interaction between mind-and-matter[24] is essential as 'it is through interaction that knowledge is created and tested through its consequences' (Johansson and Lindhult, 2008:98). In regards to the work of Mead (1913), Bulmer states that the essence of society lies in an ongoing process of action - not in a posited structure of relations. He states 'Without action, any structure of relations between people is meaningless. To be understood, a society must be seen and grasped in terms of the action that comprises it' (Blumer, 1966:77). Dewey asserts we learn and test our knowledge through our interaction with the world.

Whilst it is hard to overplay the importance of action and experience to pragmatists, it is important to emphasise that whilst pragmatists believe that all knowledge is generated from experience, they do not believe that all experience constitutes knowledge. As Webb (2007) highlights, for and not regarded as knowledge, it is 'only when experience occurs through the process of controlled, reflective inquiry can it be considered knowledge' (Webb, 2007:1071). Dewey distinguished

[24] *Dewey prefers the term transactions*

between unreflective experience and reflective experience[25], he argues that knowledge is generated through intelligent inquiry, where rational thought and reflection is interspersed with action (Dewey, 1938a). The process of action and reflection is viewed as cyclical and potentially never-ending. 'There is not an absolute end to inquiry, because every settlement of a situation institutes new conditions which, in turn, occasion new problems and the cycle begins again' (Linh Chi *et al.*, 2012:375). Dewey states, 'absolute origins and absolute closes and termini are mythical. Each beginning and each ending is a delinitation of a cycle or round of qualitative change' (Dewey, 1938b:221)

WARRANTED ASSERTIONS

Bernstein asserts that what unites all classical pragmatism is, 'a persistent questioning of the very idea that philosophy (or any form of inquiry) rests upon secure, fixed foundations which can be known with certainty' (Bernstein, 1992:813). Due to their view on the complexity of reality and experience, pragmatists see truth and knowledge as being 'temporal and embedded in, and generated through, our experiential transactions. Truth is linked to action, and has to be tested continuously and substantiated' (Hall, 2013:17). For Dewey, 'truth is a label characterising what inquiry has come up with – in that situation, for those purposes' (Hildebrand, 2008:61). Dewey asserts that no judgement was ever absolutely right, or absolutely wrong per se as 'each judgement is situated within a specific inquiry […] outcomes are always modified by specific purposes, stakes and personal perspectives' (Hildebrand, 2008:59). As Webb highlights, 'beliefs well warranted by previous inquiry provide the means of furthering other inquiries. This does not mean that well-warranted beliefs are themselves exempt from future critical scrutiny' (Webb, 2007:1069). Pragmatists accept that the knowledge generated by one inquiry, even if proven true by the consequences of their action, may not be true for another individual, in another context or at another time. The highly temporal and contextual nature of knowledge makes the transmission of knowledge from one inquiry to another problematic. Due to the fallibility of communicating knowledge, Dewey reasoned that 'instead of defining truth to mean what we have justification for taking as true […] why don't we just talk about those conditions that warrant belief?' (Talisse and Aikin, 2008). Thus from a pragmatist perspective, it is important to talk about the findings of an inquiry as warranted beliefs and to ensure that that the conditions that warrant beliefs are clearly and transparently communicated.

[25] *Dewey's names for the two kinds of experience vary (Hildebrand, 2008:36). Unreflective experience is a term I utilise to define what Dewey refers to as had, direct, immediate, undergone or primary experience. Reflective experience is a term I use to define what Dewey refers to as known, indirect, mediated, reflective or secondary experience.*

THEORETICAL MAPS

Pragmatism is essentially anti-dualistic, but Dewey's interpretation of pragmatism is not anti-theoretical. Confusion might arise as, whilst pragmatists utilise theory, they do so in a different manner from other philosophical traditions. As highlighted in the (1910a) *'How We Think',* Dewey often used the metaphor of a map to explain theory. He explains that whilst a map it is intended as a conceptual tool for understanding reality, the map itself is not reality. Dewey states that 'maps are propositions and they exemplify what it is to be propositional. […] Like a chart, indeed, like any physical tool or physiological organ, a proposition must be defined by its function' (Dewey, 1938b:146). Pragmatists treat theories as instruments, 'to be judged by how well they achieve their intended purpose. The content of a theory or concept is determined by what we should do with it' (Hookway, 2013:14). Theories are viewed as tools, rather than representations of reality. Dewey stated that 'we can theorize, but saying that theory offers us a factual way of looking at the world is a wrong conclusion' (Linh Chi *et al.*, 2012:375).

EPISTEMOLOGICAL ARGUMENTS

Throughout this chapter the reader may have noted that pragmatism was never referred to as a philosophy; this was a purposeful decision in recognition of the fact that it is widely contested whether pragmatism is a philosophical approach. As Talisse and Aikin (2008) highlight, some believe that pragmatism is better described as anti-philosophical or as an orientation towards philosophy. Much of the contention is centred on the subject of epistemology; in particular, Dewey's rejection of Cartesian Dualities which led him to believe that a separation between the knower-and-the-known is not possible. It is argued that if epistemology refers to the relationship between reality and representations of reality, then arguably epistemology does not apply to a pragmatist perspective as pragmatism. As Biesta and Burbules (2003) highlight, Dewey's approach may be considered anti-epistemological as many assert that the pragmatist approach makes no attempt to assert an epistemology. Dewey believed that philosophy's and inquiry's primary purpose should be to create social change, not to reflect reality; so, as will be discussed, pragmatic thought is far more concerned with change through action and reflection than it is with the epistemological argument.

In contrast, to authors who believe that pragmatism is anti-epistemological, other authors believe that Dewey's views represent a unique epistemological stance. It is argued that in a vein similar to postmodernism, Dewey emphasises discontinuity and difference rather than categorization and generalization. Hickman asserts that Dewey's approach is effectively post-postmodernism; he

states that over a hundred years ago Dewey 'somehow leapfrogged postmodernism' (Hickman, 2007:14). This assertion is based upon a belief that pragmatism takes postmodernism further, as in addition to postmodernist constructs; knowledge is viewed as being more fluid, contextual and temporal. Whilst this issue is somewhat contentious, Dewey's own position on the subject seems clearer, he was not overly concerned with the definition as action and change were viewed as superseding all other concerns. Pragmatist inquiry is not driven by a desire to solve the standard philosophical problems; as Dewey highlights, ' We do not solve them: we get over them' (1916:19)

QUALITY

OUTCOME VALIDITY

This inquiry's approach to quality is consistent with the underlying Deweyan pragmatism which informed the design. As Fossey *et al.* (2002) highlight, any judgement of the quality of research needs to take account of the philosophical assumptions upon which the research is based. Validity is often assumed as a criterion of quality; generally, it refers to 'the degree to which the research findings are true' (Seale and Filmer cited in Walliman, 2006). More specifically, internal validity refers to 'a concern with whether we are actually describing what we claim to be describing' (Dyson and Brown, 2006:191). Validity can be traced back to 'its origins in the realist ontology and foundational epistemology of quantitative inquiry' (Angen, 2000:378). The term validity found its way into the discourse of social science via the concept of sociological positivism. Introduced from the early nineteenth century by authors such as August Comte (Swingewood, 2000:10), 'the inquiry of positive philosophy affords the only rational means of exhibiting the logical laws of the human mind' (Thompson, 1976:47). It was an attempt to utilise a scientific approach within social inquiry, in a manner which assumed that the social world could be apprehended directly through the perceptual and mental processes available to us. Positivist researchers are grounded in a representational epistemology, which 'depends on an external, foundational, ahistorical reality to which all knowledge claims can be compared and judged' (Angen, 2000:382). At the time positivism was 'intended to be a progressive philosophy' (Bruce and Yearly, 2006:237) as it sought to challenge the religious and spiritual dogmas of the age. Dewey argued that 'our claims to knowledge are legitimized not by their origins - for the origins of knowledge are diverse and fallible – but rather by the norms and rules of inquiry itself' (Bernstein, 1971:175).

In reference to practitioner-based action research, Anderson and Herr question the relevance of quantitative and qualitative quality criteria. They argue that current debates on quality represent a 'new paradigm war' which bears a resemblance to the *paradigm wars* held between positivist, interpretivist and critical theorists (Anderson and Herr, 1999). Whilst often regarded as holding opposing views, authors such as Heron (1996) assert that qualitative research ultimately adopts the same theory of truth as positivism; it is argued that both approaches seek to verify an objective reality which has been defined by an external researcher. As Seale (1999) highlights, many approaches to qualitative inquiry merely substitute quantitative terminology while retaining similar scientific orientations. As pragmatists do not believe in Cartesian dualities of mind-matter,

knowledge-action, knower-and-the-known, concepts of validity, which premised upon the idea that there is a 'world out there' to be captured, do not reflect the underlying assumptions of pragmatism.

In contrast to other approaches, pragmatists do not believe that the purpose of inquiry and knowledge generation should be to reflect reality. Dewey proposed that the purpose of inquiry should not be for 'the discovery of antecedent fact of matter or state of affairs, but rather the creation or construction of a new situation' (Dewey cited in Talisse and Aikin, 2008:23). He argued for a different starting point of inquiry; one which starts from practical starting points and social problems. As highlighted by Biesta and Burbules, the key to understanding Dewey is 'to get away from the idea that knowledge is a picture of reality; knowledge, for Dewey, is something we use in order to live, work and act in the world' (2003:69). Thus, from a pragmatic perspective, the quality and truthfulness of an inquiry are not based upon ability to reflect reality, but rather upon an inquiry's ability to change reality. The characteristic idea of pragmatism is 'ideas and practices should be judged in terms of their usefulness, workability, and practicality' (Reason, 2003:1). Referring back to the Pierce's pragmatist maxim, which urges us to look to the consequences, it is viewed that the only truth is found in the consequences of our actions. Linh Chi *et al.* highlight that within the tradition of pragmatism it is considered that 'reality reveals itself to us as a result of our activities, of our 'doings' (2012:374). Hickman states, for Dewey it is regarded that 'our ideas are true when they have both an objective basis […] and the capacity to resolve some type of objective difficulty' (Hickman, 2007:37). Due to the importance that consequence and outcomes play within pragmatic thought, 'outcome validity' is viewed as a more significant indicator of quality for pragmatic inquiry. From a pragmatic perspective, it is argued that the validity of inquiry is substantiated by the results it achieves (Anderson and Herr, 2005).

RIGOUR

Whilst outcome is viewed as the primary indicator of quality, other traditional academic goals are certainly not dismissed by most action researchers. Conversely action researchers tend to adopt an approach whereby these 'are coupled with, or even ancillary to this primary goal of creating transformations in everyday life' (Denzin cited in Falzone, 2004:329). As discussed previously, pragmatists ascribe to a view that knowledge can only be generated through action and reflection. Thus, the purpose of this thesis and of the analysis of the data is not viewed as a means of generating new knowledge but as a means of presenting the knowledge that has already been acquired through the action research process. Whilst the truth and quality of the knowledge acquired through experience is evaluated by outcome validity, the generated knowledge and the conditions which warrant assertions still need to be communicated through a rigorous process

which is subject to scrutiny. Aroni et al. define rigour as 'the means by which we demonstrate integrity and competence' (cited in Tobin and Begley, 2004:390). It is noted that the term is sometimes used interchangeably with quality or validity, but it can also be used synonymously to describe what is realistic, regular and constant. Coghlan and Brannick state that rigour in action research refers to a need to be clear and transparent regarding 'how data are generated, gathered, explored and evaluated, how events are questioned and interpreted' (2005:23).

NARRATIVE OF EVENTS

Biesta and Burbules highlight that from a pragmatic perspective, it is important that inquiry is conducted in the open and that it is made totally transparent, so that others 'can follow critically how the conclusions of a particular inquiry have been reached' (Biesta and Burbules, 2003:70). However, this presents a challenge, as action research by its very nature is evolutionary and non-linear; action research is a cycle of action and reflection. The methodology is intended to evolve and change as events emerge. In this inquiry as the methodology evolved, so did the methods used to capture data each stage. Furthermore, as a collaborative process, defining the entire methodological approach before the collaboration begins would be in direct opposition to the key values of pragmatism. The findings and the methodological development are entwined. As such it is difficult to disclose the methodology without running into the findings. To address this issue, I have decided to present a narrative of events, prior to defining the full methodology. This narrative is designed to offer the reader enough information to highlight why certain methodological choices were made. As McNiff et al. (2003) highlight, in action research the researcher must present the living process of coming to understand. As noted by Coghlan and Holian, 'action research is about real time change, its core is the story of what takes place' (2007:24). Events are presented in chronological order so the reader can follow the interlinked decision-making processes. I use the term narrative in recognition that the description offered resembles what some qualitative researchers may view as a narrative approach. As part of my commitment to quality, I aim to be transparent regarding what data I draw from to construct the narrative of events. As highlighted by Feldman, 'it is important for action researchers to provide clear and detailed descriptions of how their narratives were constructed from the data' (Feldman, 2007:31).

Meyrick (2006) highlights the point that whilst views vary on criteria for quality of qualitative research, there is some common ground in the need to demonstrate a systematic and transparent research process. In light of this, the section of this chapter on methods is intended to offer the reader a clear description of which methods were used and why. Following an introduction of each method, I discuss the strengths and challenges of each method then I move on to discuss how these

methods were applied in reality. Feldman states that action research reports should include clear and detailed descriptions of how and why data were collected, and […] make explicit what counts as data in their work' (Feldman, 2007:31). Within this chapter, I describe my process of analysis and define what I regarded as data. This narrative is supported by a detailed appendix which highlights how I arrived at major themes.

ETHICAL RIGOUR

Ethics is a term commonly used in both research and practice to describe an 'attempt to formulate codes and principles of moral behaviour' (May, 2001:59). As an international social worker, I believe that an ethical commitment in research and practice is a matter of professional integrity. As such, I decided that this inquiry should demonstrate a concept of quality which is in synergy with an ethical approach as defined by the social work profession. Returning to Aroni *et al.'s* definition of rigour, which refers to how researchers demonstrate integrity and competence, I decided as an international social worker it was important that my indicators of rigour highlighted the importance of ethical practice and research. Subsequently, based upon the British Association of Social Workers (BSAW), in their code-of-conduct for social work research, I decided to construct my definition of rigour as one that incorporated ethical rigour. Following the narrative of events and a description of methods, I discuss how I ensured ethical rigour within this inquiry. BASW state that:

> *researchers must 'retain a primary concern for the welfare of research subjects and actively protect them from harm, particularly those who are disadvantaged, vulnerable or oppressed […] in all stages of the research process social work researchers have a duty to maintain an active, personal and disciplined ethical awareness and to take practical and moral responsibility for their work' (BASW, 2002)*

CRITICAL CLOSENESS: INTERSUBJECTIVITY

Within pragmatic reasoning, it is argued that if we attempt to separate the knower from the known then we can never be certain that the reality of the researcher is concurrent with the reality of those being researched. As Bray et al. highlight, 'propositions about human experience are of questionable validity if they are not grounded in the researcher's own experience' (Bray *et al.*, 2000:4). However, this approach is in stark opposition to a conceptual framework which views objectivity and distance as desirable. Traditionally, 'many early social scientists, such as Mill and Durkheim, maintained that if the social sciences were to become true sciences then they must aspire to value freedom' (Williams and May, 1996:107). These concepts were underscored by scientific methods which 'evolved to understand, describe, explain and control the natural world,

using observational and experimental methods to shore up our uncertain mental capacity by building in checks against bias' (Gomm and Davies, 2000:11). Concepts of value freedom and objectivity are intended to ensure that the knowledge produced is not biased or skewed by the researcher; in other words, that the research is true to reality, that it is valid.

However, scientific approaches to validity have been critiqued by various authors who assert that all reality is subject to interpretation and social construction; thus, it is argued that it is impossible for any research to be value free or objective. Gorard (2006) asserts that objectivity in research is impossible; he states that 'personal judgement is at the heart of all decisions that we make as researchers - in our choice of research questions, samples, questions to participants and methods of analysis' (Symonds and Gorard, 2008:5) Subsequently, as our personal decisions are affected by our identity and values, these factors are inevitably reflected in any research inquiry; Creswell asserts that 'the researcher's values are inherent to all phases of the inquiry process' (Creswell cited in Angen, 2000:385). Habermas draws from the work of pragmatist Mead, maintaining that 'because knowledge was generated through the interest of the mind, knowledge and interest are forever linked and cannot be unattached' (Anderson and Herr, 2005:27).

Some authors adopt what Smith (2009) describes as a *committed stance* to research, where conventional notions of objectivity are explicitly challenged, suggesting that it is 'neither possible nor desirable to stand outside of the subject of enquiry' (Smith, 2009:12). It is argued by authors such as Swigonski (1993), that less powerful members of society experience a different reality and, therefore, they are best placed to represent the reality which they encounter. As a pragmatist, I question all knowledge assumptions and claims to objectivity. In this inquiry I adopt a committed approach, in asserting my belief that knowledge is generated through experience alone; furthermore, I believe that all experience occurs within an environing context that consists of both physical and social realities, past and present. In line with other committed researchers, I assert that quality of research is ensured by being transparent and honest, about the experience which led to the generation of knowledge and the factors which affected the experience. As Smith highlights, all research from whatever tradition starts from a particular 'standpoint'. 'Research which claims to be 'committed' therefore might justifiably argue that it is simply being honest about this' (Smith, 2009:143).

In this inquiry, I generate knowledge through experience, not through objectivity or subjectivity, which places the researcher at a distance from the experience of inquiry. It is an approach which Dewey referred to as *inter-subjectivity*. Inter-subjectivity in the action research process purposely encourages the researcher to become involved and to take part within the inquiry process. Rather

than the researcher trying to attain an unachievable objectivity or a distance from the subject of the research, inter-subjectivity ensures rigour by acknowledging that the action researcher is part of the inquiry. As pragmatists believe that knowledge is only generated through experience, inter-subjectivity is viewed as enhancing the quality of the research. Traditional notions of objectivity would be viewed as reducing quality, as the idea of objectivity is premised on Cartesian dualities in which the knower can be separated from the known. Pragmatists do not believe that this is really possible, thus attempts to increase objectivity serve merely to enhance this false assumption. An example of inter-subjectivity is evident in practitioner-based action research methodologies by Fox *et al.* (2007). In reference to such practitioner-based action research Fox *et al.* note that the 'practitioner research cannot be removed from the practitioner-researcher. The relationship between the person and the inquiry, therefore, is part of the inquiry'(Fox *et al.*, 2007:86) .

To ensure the quality of this inquiry, I support inter-subjectivity within the methodological design; I respected the knowledge generated by experience and entered into the inquiry as researcher and participant wherever possible. As will be discussed in regards to the dimensions of the inquiry, whilst my positionality varies within the different dimensions of the methodology, I often regard myself as a participant of the inquiry. In doing so, I open up my actions, identity and beliefs to being part of the inquiry. Meyrick argues that traditional notions of rigour, ignore 'those researchers who ensure rigour by accounting for their relationship to the data using reflexivity' (Meyrick, 2006:802). Whilst I believe inter-subjectivity enhances quality, the nature of involvement must be as transparent as possible; throughout this inquiry, I used reflexive practice to support the transparency of my involvement within the research process. Reflexivity is related, but distinct from, the reflective practice, which was discussed in relation to the action research cycle. In contrast to reflective practice which tends to focus upon a reflection of work and actions, reflexivity more specifically refers to how the research process 'is affected, in terms of outcomes and process, by one's own position as a researcher' (Fox et al, 2007:186).Thus, reflexivity refers to 'finding strategies for looking at our own thought processes, values, prejudices and habitual action as if we were on-lookers' (Boulton cited in Buchy and Ahmed, 2007:361). Tools for reflective and reflexive practice used within this inquiry are further discussed in the methods section of this chapter.

NARRATIVE OF EVENTS: THE DESIGN STAGE

The narrative of events is intended to offer the reader a conceptual overview of the inquiry. It is presented in four stages which demark distinct phases of the inquiry. (1) The design stage, which was undertaken independently in the UK; (2) the start-up stage, in which much of the methodology was developed; (3) the group-work stage which involved group work with young urban youth in Kampala; and (4) the follow-up stage which was undertaken several months after the group-work stage was completed. A decision was made to present the narrative prior to defining the dimensions of details of the methodology, in order to respect the iterative nature of the inquiry. Whilst there may be some overlap with the findings and discussion, the main purpose of the narrative is to present a chronology of events, as the findings and discussion are organised around thematic areas, and to offer the reader enough information to understand how the methodology evolved. **Table2** highlighted below indicates dates and major events pertaining to each stage.

SUMMARY OF STAGES

DESIGN STAGE (UK)	**START-UP STAGE (UGANDA)**	**GROUP-WORK STAGE (UGANDA)**	**EVALUATION STAGE (UGANDA)**
OCT 2010 – NOV 2011	NOV 2011 – FEB 2012	FEB 2012 – DEC 2012	MAY 2013 – JUNE 2013
UK BASED PREPARATION INDEPENDENT IDENTIFICATION OF ISSUES REGARDING NGO ACCOUNTABILITY INITIAL DESIGN OF PIP THE PRACTICE MODEL BACKGROUND RESEARCH ON UGANDA ETHICAL APPROVAL FROM DMU	IDENTIFICATION AND SELECTION OF NGO PARTNER RE-DESIGN OF PIP THE PRACTICE MODEL WITH NGO PARTNER RECRUITMENT OF LOCAL PIP FACILITATORS YOUTH ENGAGEMENT SESSIONS ETHICAL APPROVAL FROM UNCST AND MAKERERE RE-DESIGN OF PIP THE PRACTICE MODEL AND SAFEGUARDING SYSTEMS TO MEET REQUIREMENTS OF UNCST AND MAKERERE	WEEKLY SESSIONS WITH PIP GROUP MEMBERS WEEKLY PLANNING AND REVIEW WITH 3 PIP FACILITATORS YOUTH-LED ACTION RESEARCH IN MAKINDYE ON URBAN CRIME YOUTH-LED ACTION RESEARCH IN KAWEMPE ON YOUTH UNEMPLOYMENT WEEKLY ALTERATION OF PIP THE PRACTICE MODEL BASED UPON THE PIP FACILITATORS ACTION RESEARCH START-UP OF YOUTH-LED BUSINESS AND YOUTH-LED ADVOCACY	INTERVIEWS AND FGD'S WITH MOST INDIVIDUALS WHO CAME INTO CONTACT WITH THE ACTION RESEARCH PROCESS. ASKED ABOUT THEIR EXPERIENCE AND ASKED TO CONSIDER IF THEY THINK THE AR IMPACTED UPON THE NGO'S ACCOUNTABILITY

TABLE 2: STAGES OF INQUIRY

PIP THE PRACTICE MODEL

Within action research methodologies the cyclical process of action and reflection allows theories and ideas to be tested and refined. As highlighted by Fendt and Kaminska-Labbé, action researchers learn from 'his or her involvement what is useful, and what is not, what works and what does not, and brings back into the realm of academia' (Fendt and Kaminska-Labbé, 2011:224). Within this inquiry, I wanted to explore what worked and what did not in regards to NGO accountability. In order to facilitate this, I adopted a pragmatic approach. By utilising theoretical constructs as a conceptual map to inform practice, I created a *practice model* that had the explicit intention of improving the NGO's accountability; I named this model *Participatory Inquiry in Practice (PIP).* Practice models are effectively a means of translating academic theory into suggestions of concrete actions and techniques that can be undertaken. As Rubin and Babbie highlight, they 'cite social science theories as guides to social work practice' (Rubin and Babbie, 2001:66). Sometimes referred to as practical theories, practice models are regarded as 'a kind of instrument for practitioners struggling to manage and improve their practices' (Goldkuhl, 2008:4). As will be discussed, PIP the practice model evolved through a collaborative process of action and reflection throughout the inquiry; however it is important to note that during the design stage I worked independently. The '*original design*[26]' of PIP the practice model is described below. Informed by the literature review, development of the practice model began by identifying theories which I felt responded to issues inhibiting NGO accountability. I used the term the *'four key aspects'* to describe four broad theoretical themes which informed the design of the practice model. The four key aspects of the original design were as follows:

1. ***Participatory PIP:*** *the practice model sought to enhance downward, horizontal and internal accountability by enhancing authentic participation within accountability systems and in NGO management.*
2. ***Critical PIP:*** *the practice model recognised power and inequality that was evident in NGO accountability relationships. It sought to address this by changing the way knowledge is produced and by empowering marginalised accountability actors.*

[26] The phrase *'the original design'* is used through this document to describe how the practice model began; its first form, when developed independently in the design stage of this inquiry.

3. ***Systemic PIP:*** *the practice model was intended to adopt a holistic approach to accountability by attempting to enhance all forms of accountability and enhancing relationships within accountability systems. To escape an often short-term and myopic view of accountability, a systemic approach to exploring issues and addressing inequality was adopted*
4. ***Practical PIP:*** *It was identified that the practice model had to take a practical, as opposed to theoretical, form. It should offer NGOs practical guidance that is realistic for a local NGO with a minimal budget.*

PARTICIPATORY PIP

The key aspect of '*participatory PIP*' was incorporated into the design, primarily due to its relevance to enhancing downward and internal accountability. For *rights-based* NGOs, participation is viewed as a means of enhancing internal accountability; it ensures and demonstrates responsible action as participation is viewed as an integral articulation of the organisation's commitment to human rights[27]. Participation is particularly important for NGOs that engage with children and young people as it has been described as the 'keystone of the arch that is the United Nations Convention on the Rights of the Child' (Dalrymple and Burke, 2006:66). In accordance with a *rights-based* approach, it is asserted by authors such as Theis (2003) that the management and governance systems of *rights-based* NGOs should reflect concepts of equality and non-discrimination. Thus, for *rights-based* NGOs, participation pertains to more than an organisational focus on rights, it influences the way in which the organisation works, and the type of projects the NGO undertakes. In addition to enhancing internal accountability, it is argued that participation can improve *downward accountability* as it is viewed as a means of ensuring and demonstrating responsible action to beneficiaries and communities. Furthermore, participatory approaches are viewed as a means of enhancing responsible action, as it is argued that participation enhances programme sustainability and the degree to which the communities feel ownership over a project. Cronin and O'Reagan assert that if stakeholders are not included in the design and identification of results, 'they cannot be expected to feel responsible, or be held responsible, for project performance' (Cronin and O' Reagan, 2002:16).

[27] It is noted that not all human rights declarations explicitly utilise the term participation. However, concepts strongly associated with participation appear throughout several human rights declarations which has resulted in participation being used as a shorthand-term for the realisation of various rights. For example, Article 12 of the Convention on the Rights of the Child (CRC) states that 'Parties shall assure to the child who is capable of forming his or her own views the right to express those views freely in all matters affecting the child' (ALNAP, 2003:23). Article 13 of the CRC states that the child should have the right to freedom of expression. Furthermore, various other articles such as Article 14, freedom of thought; Article 15, freedom of association; Article 30, freedom of cultural expression and Article 31, the right to participate in cultural life, can be viewed as a further articulation of participation. Other human rights declarations such as the African Charter on the Rights and Welfare of the Child (ACRWC) do make specific reference to participation.

The term participation has a long history of the international development and NGO sector. As stated by Hickey and Mohan, 'over the past thirty years participation has become one of the shibboleths of contemporary development theory and practice' (Hickey and Mohan, 2005:237). However, whilst 'the use of participatory techniques has become the new orthodoxy' (Ozerdem et al. 2010:5), there has also been a significant backlash against participatory approaches. As noted by Hickey and Mohan 'the forms of participation promoted by non-governmental organizations (NGOs) through discrete project interventions have been subject to particularly vigorous criticism' (2005:244). Whilst I viewed a participatory approach as having great potential for enhancing NGO accountability, I was also aware that poor participation could be detrimental to accountability, particularly if it was undertaken in a tokenistic or unethical manner. As Najam states, 'since participation is deemed to be the NGO's way of being accountable to its clients, the sham of participation translates into the sham of accountability' (Najam, 1996:346). There were many ways in which I could have brought participation into the design of the practice model, but following a secondary literature review on participatory methods, I decided to introduce participation through Social Action-informed group work. Social Action is a value-driven and theory-informed approach to practice in which social change is stimulated through self-directed group work. This approach was adopted as I felt this approach offered a means of articulating the 4 key aspects of PIP and was in synergy with my values as an international social work practitioner. Fleming describes Social Action as a 'value-based approach to practice' (Fleming, 2004:25). The first guiding principle of Social Action was viewed as representing my values of equality and social justice which I identify with as an international social worker. Furthermore, it was also viewed as being compatible with the principle of equity and non-discrimination which, Theis (2003) highlights as being integral to a *rights-based* approach.

SIX GUIDING PRINCIPLES OF SOCIAL ACTION

1. **Social Action workers are committed to social justice:** We strive to challenge inequality and oppression[28] in relation to race, gender, sexuality, age, religion, class, culture, disability or any other form of social differentiation.
2. **We believe all people have skills, experience and understanding that they can draw on to tackle the problems they face:** Social action workers understand that people are experts in their own lives and we can use this as a starting point for our work.
3. **All people have rights including the right to be heard, the right to define the issues facing them, and the right to take action on their own behalf:** People also have the right to define themselves and not have negative labels imposed upon them.
4. **Injustice and oppression are complex issues rooted in social policy, the environment and the economy:** Social Action workers understand that people experience problems as individuals but these difficulties can be translated into common concerns.
5. **We understand that people working collectively can be powerful:** People who lack power and influence to challenge injustice and oppression as individuals can gain it through working with other people in a similar position.
6. **Social action workers are not the leaders, but facilitators:** Our job is to enable people to make decisions for themselves and take ownership of whatever outcome ensues. Everybody's contribution to this process is equally valid and it is vital that our job is not accorded privilege.

(Adapted from: Aubrey, 2004)

FIGURE 7: SIX GUIDING PRINCIPLES OF SOCIAL ACTION

PRACTICAL PIP

Social Action's third guiding principle, highlighted above in **Figure 7**, demonstrates the participatory nature of the approach; it asserts a belief that all people have the right to be heard, to define issues and to take action. In adopting Social Action I effectively decided to articulate the four theoretical, key aspects of PIP, by undertaking participatory group work sessions. Within Social Action informed group-work approach, 'Group members create the knowledge and understanding, through active participation: describing, suggesting, analysing, deciding, experiencing and reflecting' (Fleming, 2004:202). After generating knowledge, the group members are supported to take action upon issues which matter to them; Social Action supports group members to explore 'the wider social causes of particular concerns or problems before deciding on collective action to seek change'

[28] *Oppression is defined by Barker (2003) 'The social act of placing severe restrictions on an individual, group or institution. Typically, a government or political organization that is in power places these restrictions formally or covertly on oppressed groups so that they may be exploited and less able to compete with other social groups. The oppressed individual or group is devalued, exploited and deprived of privileges by the individual or group which has more power'*

(Arches and Fleming, 2007:35). As groups are supported by a facilitator to conduct their own inquiry, this group work process which can be broadly described as outsider(s) collaboration with insider(s), a second-person form of action research, which was previously highlighted in Ref. Box 1

Whilst Social Action also appeared to offer a response to the key aspect of ***Participatory PIP***, the approach was also integrated into the design of the practice model due to its practical nature and recognised application in practice settings. For example, *Writing for Change*, by Berdan *et al.* (2006) is one of several publications which demonstrates the use of Social Action within a practice-based setting. As evident from the literature review, much of what is written on NGO accountability and participation is viewed as being too idealistic and not implementable in practice. Thus, Social Action informed group-work was viewed as offering a realistic way to articulate the four, theoretical, key aspects of the PIP practice model. The key aspect of ***Practical PIP*** was utilised as a reminder that the design should be realistic and appropriate to the context. Where possible, it was anticipated that the design should run in parallel to the project management cycle which involves problem identification, planning, implementation, monitoring and evaluation. It was believed that by integrating action research into the design, the implementation would run in line with rather than contrary to the normal function of the NGO.

SYSTEMIC PIP AND SYSTEMS THEORY

The key aspect of ***Systemic PIP*** was, in part, incorporated into the practice model as a consequence of recognising the subjective nature of accountability and of the challenge presented to NGO practitioners in juggling multiple accountabilities. Ebrahim (2005) asserts a belief that accountability 'is more accurately viewed as a system of multidirectional and contingent relations' (Ebrahim, 2005:5). In recognition of this and of the challenges presented, I decided to incorporate systems theory into the design, as I believed that viewing accountability as a system would enable me to explore the relationship and interdependency between all typological forms of accountability. General Systems Theory (GST) draws attention to the fact that 'individuals operate within systems that create process environments that affect the outcomes of behaviour in complex ways' (Greenwood and Levin, 1998:71). I also adopted Soft Systems Methodology (SSM) which gives much greater focus to the people within a system. As Flood highlights, Soft Systems Thinking (SST) 'understands reality as the creative construction of human beings' (Jackson cited in Flood, 2001:122). I hoped that, by understanding socially constructed dimensions of an accountability system and the accountability actors involved, I would be more able to enhance the NGO's accountability.

Sinclair proposes that 'accountability will be enhanced by recognising the multiple ways in which accountability is experienced, rather than by attempting to override this chameleon quality' (Sinclair, 1995:219). In recognition of GST and SST, I believed that the model should not solely focus on one group of individuals. The original design of the practice model intended to create a steering group which comprised of multiple accountability actors. Furthermore, PIP was also intended to produce knowledge that would have application for different accountability typologies and use for multiple stakeholders and be integrated within the NGO's general management systems. As noted by Ward and Fleming, Social Action was developed in the 1990s: it 'evolved as a partnership among users, practitioners and academics through a range of activities: fieldwork, training, consultancy and research' (Ward and Fleming, 2004:164). As such, it was viewed as an approach which recognised the importance of and was capable of bringing together, multiple stakeholders.

CRITICAL PIP

The key aspect of ***Critical PIP*** was explicitly incorporated in an attempt to enhance NGO accountability by addressing power and inequality. As power and inequality were highlighted as major inhibiting factors of NGO accountability, I decided that it was important to incorporate critical theory into the design of the practice model. Critical theory is a term utilised to capture a body of work and theories. Whilst by no means the only academic institute to nurture critical thinkers, the Frankfurt School is often associated with the development of critical theory. Max Horkheimer, from the Frankfurt School, described critical theory as 'a form of theorizing motivated by a deep concern to overcome social injustice and the establishment of more just social conditions for all people' (Kemmis, 2008:125). In regards to research, it is argued that critical researchers 'see the world as being divided and in constant tension, dominated by the powerful, who oppress the people and use the state and its institutions as tools to achieve this purpose' (Sarantakos, 2005:51). In regards to the key aspect of critical PIP, it was considered that Social Action offered a critically informed approach to participatory practice and research.

The practice model explicitly sought to address issues of inequality by empowering[29] local beneficiaries and communities through participation. However, Bendell highlights, that especially when NGOs try to '*do participation'* within short-term consultancies, participation is articulated by NGOs in a form that is often manipulative. Bendell states that the processes of participation have 'been industrialized by consultants so that many such processes are little more than an exercise in

[29] *Empowerment broadly refers to the expansion of 'freedom of choice and action to shape their own lives. It implies control over resources and decisions' (Narayan, 2005:4).*

gaining consent for predetermined strategies' (Bendell, 2006:20). It is a phenomenon that has not gone un-noticed by local communities who are becoming increasingly sceptical of those who claim they are participatory. Gaventa and Cornwall state 'as the use of invited participation to rubber stamp and provide legitimacy for preconceived interventions grows, citizens are becoming increasingly sceptical' (Gaventa and Cornwall, 2001:34).

In order to ensure that the design was critically aware of how power and inequality might be perpetuated by poor implementation, the key aspects of critical PIP and participatory PIP aspired to foster what is regarded as authentic participation. Within the NGO sector, it is noted that the term has been utilised in a variety of ways. Hart's ladder of participation (1992) builds upon the work of Arnstein (1969), offering a diagrammatic representation of different forms of participation. Hart distinguishes between eight conceptual definitions of participation. The bottom of the ladder describes when participation amounts to little more than tokenism, decoration and manipulation; whilst acknowledging a different interpretation of the term, Hart describes this as non-participation. Full or ***authentic participation*** comes at the top two rungs of the ladder as the young people are able to take a lead and initiate action with genuine sharing in the decision-making being achieved. (Hart cited in Pearce, 2009:137).

It is argued by authors such as Chambers that participatory research demonstrates a self-critical commitment which demands an 'awareness of how we learn, how that affects what we think we know, and how we perceive and distort the realities of others' (Chambers, 1997:100). By supporting the group's research, it was noted that 'authentic participation means immersing people in the focus of inquiry and the research method, and involving them in data collection and analysis' (McTaggart cited in Gray, 2004:374). The experience and knowledge of group members were to be respected and relationships which viewed all individuals as equal would be encouraged. As a power aware approach to participation, Social Action informed group work supports equality and social justice by facilitating group members to explore issues of power and inequality. It is an approach which highlights 'the importance of critical reflection, action to achieve social change, and the centrality of the experience, knowledge and skills of marginalised people' (Arches and Fleming, 2007:35). Furthermore, this approach recognises how the process of knowledge generation can promote what is described as critical consciousness; as highlighted by Fleming and Archers, 'Social Action places an emphasis on process rather than being exclusively outcome oriented' (2007:36). To avoid tokenistic or manipulative participation, the approach seeks to break down power dynamics between different actors involved. As highlighted in the guiding principles of Social Action, (Figure 7) Social Action workers are regarded as facilitators, not leaders. Fleming and Boulton (2006) state, 'our job is to

work alongside the group, resisting the temptation to become either a group member or a group leader' (2006:90).

SYSTEMIC PIP AND SYSTEMIC THEORY

Participatory approaches have been criticised for the way that they often fail to recognise structural oppression and inequality beyond the immediate environment. Parpart asserts a belief that 'much of the writing on participatory empowerment is under-theorized, especially in regard to power' (Parpart, 2000:8). Parpart (2000), alongside Cooke and Kothari (2001), note how many NGOs adopt participatory approaches which explore problems and solutions from within highly localised parameters. Subsequently, it is argued in their programme implementation and attempts of participation they often fail to recognise the importance of understanding systemic causes of social inequality and injustice. Partpart states that 'emphasis on the local has encouraged participatory facilitators to ignore the impact of national and global power structures, discourses and practices' (Parpart, 2000:3).

Systemic theory was introduced as part of the key aspect of ***systemic PIP*** to address the critique that accountability is often shortsighted, or myopic. Whilst closely related to GST and SSM highlighted above, systemic theory moves beyond defined systems and more generally refers to how 'phenomena are understood to be an emergent property of an interrelated whole' (Flood, 2001:117). Systemic theories were incorporated into the design of PIP to ensure that any participation undertaken moved beyond a purely local focus so that structural inequalities and power relations beyond the immediate could be explored. As Williams and Hummelbrunner highlight, thinking systemically 'is a means of making sense of not only a tree and the forest that contains it, but also the landscape in which the forest is embedded' (Williams and Hummelbrunner2011:362). Systemic theories such as Bronfenbrenner's (1994) ecological paradigm have been utilised to identify the structural causes of oppression whilst also embracing the wider social networks of relationships that are often crucial in supporting oppressed individuals. Bronfenbrenner states, 'in order to understand human development, one must consider the entire ecological system' (Bronfenbrenner, 1994:37). Throughout this inquiry, the practice model informed a systemic and critical approach in which power and inequality were explored at a micro,

meso, exo and macro level[30]. One of the primary reasons for selecting Social Action as a means to articulate the four key aspects of PIP was because it represents a critically informed participatory approach which is alert to the systemic dimensions of power. In their Social Action approach, Arches and Fleming (2007) avoid an over-simplistic analysis of issues by exploring how injustice and oppression are complex issues rooted in social policy, the environment and the economy. This is highlighted in point 4 of the guiding principle of Social Action, offered in figure 7 above.

EVOLUTION OF THE PRACTICE MODEL

It is important to note that whilst I was solely responsible for the initial development of the practice model I utilised action research as a means of continually developing and testing the model. Prominent action researcher Kurt Lewin asserted a belief that 'the best way to understand something is to try to change it' (Lewin cited in Greenwood and Levin, 1998:19). Through the process of action and reflection, I was able to test and explore which theories seemed to work and which did not. Whilst changes to PIP the practice model are broadly indicated in the findings and discussion chapter, the conclusion this thesis discusses at length how the model changed throughout the inquiry. A summary of the strengths and weaknesses of the PIP the practice model's original design, alongside recommendations for further development, is presented in **Appendix C2**.

COUNTRY SELECTION

Having developed PIP the practice model, I progressed to selecting a suitable country where I might implement the model. I began the process by choosing to locate the research within the continent of Africa. This decision was made due to the continent's high dependency on aid and substantial exposure to NGOs. As stated by Gugerty; 'in many countries, but particularly in sub-Saharan Africa, NGOs now provide large portions of social services to the public through a complex network of contracts, donor support and private initiatives' (Gugerty, 2008:105). After focusing on Africa, Uganda was selected for two main reasons: firstly, Uganda demonstrated a significant presence of NGOs working in the country. In 2007, the World Bank stated that there were 'approximately 7,000 registered NGOs in Uganda, a figure made more remarkable by the assertion that in 1992 there were fewer than 500' (Burger, 2012:99). The significance of NGOs in Uganda is highlighted by the fact that

[30] *In relation to discussions of children affected by conflict Betancourt (2005) describes Bronfenbrenner' microsystem as pertaining to the interaction between the individual and the family; mesosystems pertain to a group of microsystems [local community]; exosystems encompass extended family and broad social support networks operating within the setting [schools and NGOs]; macro systems refer to the influence of the broader cultural and political context.*

the term *NGO* is specifically referred to in the Constitution of Uganda (1995). Secondly, whilst largely at peace, Uganda contains areas that are transitioning from recent conflict and ongoing humanitarian crises. A significant NGO presence, relative stability but challenging political dimensions were viewed as important. Whilst Uganda has had an extensive relationship with the NGO sector that is typical of many developing countries, the country offered a research environment that was viewed as challenging but not too unstable to conduct research safely. Following country selection, I began an initial literature review on Uganda, the country's history, the issues it still faces as well as the legal and political context for NGOs operating in the country.

NARRATIVE OF EVENTS: THE START-UP STAGE

The start-up stage of the inquiry took place in Uganda. In order to implement the practice model a collaborative partnership had to be established with an NGO, sites of inquiry had to be selected, local facilitators employed and group members selected. This section highlights the work undertaken from November 2011 to Feb 2012 which was necessary for the group-work stage to be undertaken. Many of the decisions undertaken at this stage resulted in changes to the methodological design of the inquiry.

ESTABLISHING A PARTNERSHIP

Establishing a partnership with UYDEL took approximately two months. The initial start-up stage offered time for me and the NGO to establish the interest and expectations. As highlighted by Roper, collaborators need to 'approach the relationship with open eyes, being aware both of their counterpart's agendas, preferences, and dispositions, as well as of their own perspectives' (Roper, 2002:340). In Uganda, there is a legal requirement for all research undertaken to be approved by the Ugandan National Council for Science and Technology (UNCST). The UNCST demands that all researchers are hosted by a national Ugandan academic institution[31]. As such, one of the first tasks I embarked on was to seek formal collaboration with Makerere University; Makerere was chosen due to its central location and positive international reputation. I identified staff members who had been involved in action research and attempted to contact them from the UK. It was not until I arrived in Uganda, however, that I managed to make contact and established a formal link with the institution. Following a series of institutional meetings, I was invited to become a visiting associate of Makerere University's department of Social Work and Social Administration. Throughout the duration of this inquiry, I was allocated a supervisor from Makerere University. A requirement of my association was that I shared findings with the institution and delivered a training / seminar to their students.

With over 7,000 NGOs in the country, I decided to create criteria that would narrow my search; these were that the NGO should facilitate frontline work; that key stakeholders and managers must exhibit a willingness and interest to participate in the inquiry and an interest in improving its accountability; that the NGO should have a seemingly stable organisational framework, so as not to impede the inquiry mid-way; that the NGO should be a *rights-based* organisation; that the NGO

[31] Within the national guidelines for research involving humans as research participants, that research should have an 'investigator in Uganda who must be employed and/or affiliated to a recognized local institution that is relevant to the area of the proposed research' (UNCST, 2007).

must be willing to make a written commitment to the inquiry in the form of a memorandum of understanding; that the NGO should have funding originating from multiple sources, so that multiple dimensions of accountability could be explored. Due to my background of working with children and young people, I also decided that I would focus on organisations that work in this field; I believed that an NGO would be more likely to accept my inquiry if they felt that I could utilise my experience to contribute towards their work. I began by contacting a children's network organisation in Kampala who provided me with a list of NGOs. A major initial challenge of finding an NGO partner was in explaining the inquiry and use of a practice model in a short and succinct way which stimulated the interest of NGOs. **Appendix B2** highlights the introduction to the inquiry as an aid to my introduction. I did not, however, limit the possibility of working outside of Kampala. From the defined criteria several organisations met my requirements. I initially met with 10 NGOs and had secondary meetings with 4 potential partners. However, Uganda Youth Development Link (UYDEL) was repeatedly recommended, by local practitioners and academics at Makerere University, as a suitable partner. Following two initial meetings with managers at UYDEL, we decided to begin to move forward with the partnership.

UGANDA YOUTH DEVELOPMENT LINK (UYDEL)

Uganda Youth Development Link (UYDEL) is a *rights-based* Ugandan NGO. As evident from the 2011 UYDEL annual report, at a primary level UYDEL attains funding from independent donors, trust funds, unilateral donors (UN bodies) and larger international NGOs. However, as UYDEL acts as an implementing partner[32] for other, larger organisations it was not possible to identify from where all funding originated or whether the funding mechanisms that were required by UYDEL's donors were in fact influenced by secondary donors, who were not identified by this inquiry. UYDEL works predominantly with 15 – 24 year olds in the urban context of Kampala, offering them vocational training, counselling, skills development and health advice. The NGO works predominantly on four thematic areas:

- Child rights protection
  (child sexual abuse, child trafficking, commercial sexual exploitation, and child labour)
- HIV prevention among high-risk groups of children and youth
- Alcohol and substance abuse
- Adolescent sexual and reproductive health

[32] The use of implementing partners is common within the NGO sector; whilst the majority of aid originates from bilateral donors these organisations rarely directly implement.

UYDEL's stated goal is 'to enhance human capital development among the disadvantaged youth in Uganda'; its vision is to see 'a transformed society where young people live a good quality of life free from exploitation' (UYDEL, 2012). The organisation has strategically placed outreach centres within the proximity of the capital city. The outreach posts are often located within disadvantaged slum areas of the city and act as a base for activities and as a meeting place for young people. An overview of the NGO is highlighted below in **Box 1**.

> *'UYDEL is made up of an advisory board comprising of 8 members from various professional backgrounds who are from both the government and the private sector. The day-to-day management of UYDEL programmes is run by a group of 20 full time committed staff headed by the Executive Director. UYDEL programmes are being implemented in the Districts of Kampala (Kawempe and Rubaga Divisions), Mukono, Kalangala and Busia districts. The organization has an Advisory Board comprised of seven (7) members with different professional backgrounds that direct UYDEL activities and oversee the organization's annual work plan and budget. A team of 23 permanent staff and 5 volunteers carries out the day-to-day activities of the organization and are involved in the direct implementation of project activities. Most UYDEL activities are community-based since they aim at empowering the community to identify its problems and to come up with solutions […]UYDEL has received two international awards for its exemplary work among disadvantaged groups of children and youths especially the street children and slum youths'*

BOX 1: EXCERPT FROM UYDEL'S UN-HABITAT FUNDING APPLICATION, 2012

The organisation is explicitly a *rights-based* NGO, they state 'UYDEL will be guided by Human Rights-based approaches, upholding individuals' fundamental rights and respecting and promoting group rights in all dealings within the organization and in society' (UYDEL, 2014). Thus, in regards to *internal accountability* the organisation is viewed as being accountable to human rights, as articulated in Uganda by law, and to the organisation's stated values which according to UYDEL's website (2014) incorporate: respect for human rights, non-discrimination, transparency, integrity, participation and teamwork.

INITIAL DECISIONS REGARDING GROUP-WORK

As discussed, the key aspect of practical PIP demanded that implementation should be realistically designed and replicable for local NGOs. One of the initial decisions made by myself and managers at UYDEL was that the practice part of the practitioner-based action research should take place within, or in near proximity of, UYDEL's outreach centres in Makindye and Kawempe divisions of Kampala[33]. As highlighted in **Appendix A3** the selected inquiry sites were located in opposite corners of the city.

[33] *Kampala is divided into Kampala Central Division, Kawempe Division, Makindye Division, Nakawa Division, and Lubaga Division. Each division is further divided into Parishes, but in order to maintain anonymity of persons involved, I have chosen not to disclose the name of the parishes where the inquiry took place.*

Makindye and Kawempe were selected due to the unique challenges they faced; we wanted to explore the limits of PIP and whether the model could respond to these challenges. Makindye was selected as it was known to have a particularly high percentage of young people. In 2008, the Government of Uganda reported that Makindye division had the highest number of young people aged under 17 years in Kampala, approximately 172,444[34] (The Government of Uganda, 2008a:7). Kawempe division was selected as it represented the poorest parish of Kampala.

Following negotiations with UYDEL, a decision was made to recruit two part-time local facilitators to assist with the PIP sessions. Following advertisement within Makerere University, a series of interviews were conducted by me and UYDEL managers. The local facilitators' primary role was to support the delivery of PIP the practice model within sessions with PIP group members, to act as my translator and to engage with action research. A facilitator was employed for each site; both facilitators were females, under the age of 25, who could speak several local languages. Furthermore, both were engaged with UYDEL as volunteer social work interns for UYDEL, giving them a realistic knowledge of the NGO and context.

YOUTH ENGAGEMENT AND GROUP SELECTION

The original design of the practice model led to what was effectively *Social Action* informed group-work. Throughout this inquiry, I refer to groups as PIP groups, the participants as PIP group members, the group sessions as PIP sessions and the facilitators as PIP facilitators. Before starting the dedicated group sessions, a decision was made to undertake open engagement sessions with UYDEL's beneficiaries in each of UYDEL's outreach centres in Kawempe and Makindye. This decision was made so that I, and the inquiry, could be introduced to UYDEL's beneficiaries. It also offered an opportunity for UYDEL's beneficiaries to be involved in decisions regarding group membership and beneficence. These 3-hour sessions were viewed as a means of supporting the concept of informed consent to the inquiry, as UYDEL's beneficiaries were informed of the inquiry and its purpose prior to deciding if they wanted to join group sessions. The sessions were open to any young person who wanted to attend; the highest number of participants in any one session was in Makindye where 54 individuals attended. Participation was not restricted in any way, but it is noted that the session attracted mostly young women and beneficiaries (past and present) of UYDEL. Four sessions were held within each inquiry site. Each session comprised of approximately six separate activities; at this stage, sessions in Kawempe ran in parallel to those in Makindye. Many of the activities are

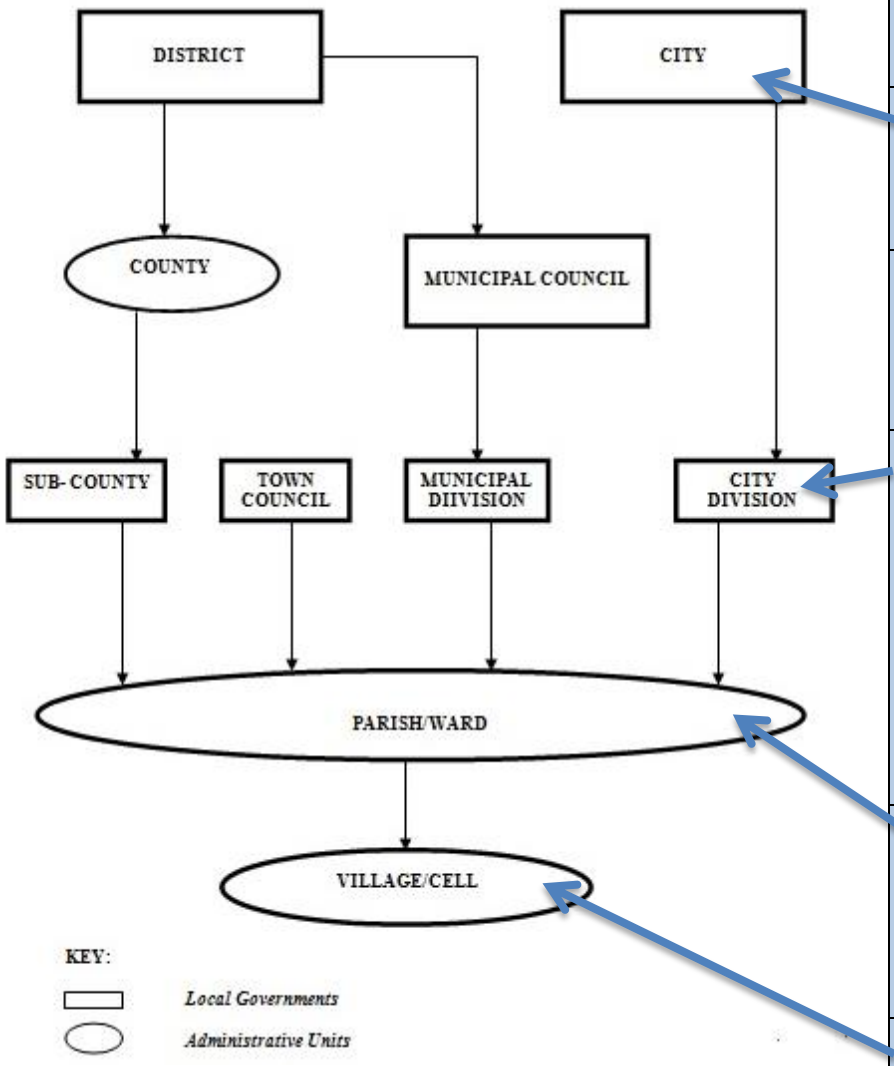
[34] According to the Uganda Bureau of Statistics (UBOS) the estimated total population of Kampala in 2011 was 1,659,600 persons

discussed within the findings and discussion chapter and are available to view in **Appendix L** It is noted, however, that activities focused on the young people involved creating their own meaning of accountability and responsible action. The sessions also incorporated an introduction to research. Accountability was described to the groups as 'how you ensure (make sure) and demonstrate (show) responsible action'; the typological framework described within the literature review was also discussed in these sessions. Due to the restrictions of space and resources, it quickly became apparent that the group size needed to be reduced. The facilitators were unable to find suitable locations and there were not enough funds available to offer allowances to all those involved. Also, the facilitators noted that they were struggling to support activities with such a large number of individuals. As a consequence, a decision was made by the PIP facilitators and UYDEL managers that the group size needed to be reduced in each location to ten persons. Whilst limits were externally imposed, UYDEL's beneficiaries were asked how the group members should be selected. Both locations responded by saying that they would like a secret ballot. Interested individuals were asked to give a short speech to their peers before a vote was undertaken. As will be discussed in regards to ethics, UYDEL's beneficiaries were also consulted in regards to appropriate compensation for elected PIP group members.

LOCAL CONSENT

As will be discussed in the findings and discussion chapter, in order to proceed safely with the group work it was necessary that consent to proceed was obtained from local leaders. This process began at the start-up stage but took several months to complete. Uganda's governance systems comprise of publicly elected, administrative (government appointed) and traditional /tribal leaders. In the mid-1980s, the National Resistance Movement (NRM) 'sought to re-establish the governance of the country from the bottom up' (Devas and Grant, 2003:311). As a result of this decision, a five-tiered system of governance emerged. As Figure 8 highlights, Uganda's governance system is structured from Local Council level 1 (LC1) to Local Council level 5 (LC5). Whilst Kampala represents the countries only City Council Authority[35], Uganda has 124 districts in total (UNFPA, 2012). It is noted that the inquiry sites of Makindye and Kawempe refer to divisions (LC3 level) of Kampala. Whilst is not indicated below, the Resident District Commissioners (RDCs) are of particular importance, as their consent to proceed with research is required by the UNCST who act on behalf of the government of Uganda. RDCs hold office at a LC3 level within each division of Kampala.

[35] *Kampala City Council Authority is often referred to as the KCCA*



LOCAL COUNCIL (LC) STRUCTURE IN UGANDA

***LC5**: DISTRICT LEVEL LOCAL COUNCIL OR KAMPALA CITY COUNCIL AUTHORITY (KCCA)*

***LC4:** COUNTY LEVEL LOCAL COUNCIL*

NOTE: LC4 LEVEL NOT PRESENT IN KAMPALA CITY

***LC3:** SUB-COUNTY (RURAL) OR DIVISION(URBAN) LEVEL LOCAL COUNCIL*

NOTE: AT THE TIME OF INQUIRY SOME DIVISIONS HAD MAYORS; SOMETIMES THIS WAS THE SAME PERSON AS THE LC3 LEADER, SOMETIMES THIS WAS A DIFFERENT INDIVIDUAL

***LC2:** PARISH OR WARD LEVEL LOCAL COUNCIL*

NOTE: LC2 LEVELS SOMETIMES NOT PRESENT WITHIN KAMPALA

***LC1:** VILLAGE (RURAL) OR CELL (URBAN) LC*

FIGURE 8: LOCAL GOVERNANCE SYSTEMS IN UGANDA (GOU, 2008A)

NARRATIVE OF EVENTS: THE GROUP-WORK STAGE

The group-work stage is a term utilised to denote the phase of the inquiry where the practice model was implemented by engaging a group of 10 young people in Makindye and a group of 10 young people in Kawempe. In reference to the practice model throughout this inquiry, I refer to groups as PIP groups, the participants as PIP group members, the group sessions as PIP sessions and the facilitators as PIP facilitators. I refer to myself predominantly as a PIP facilitator. Throughout the implementation, a total of 96 three-hour sessions were delivered by the PIP facilitators. As highlighted in **Table 2** the group-work stage began Feb 2012 and ended Dec 2012.

GROUP ACTIVITIES

Whilst subject to budget constraints, the PIP group members were fundamental in deciding when and where to meet. The PIP group members decided day, time and duration. Location choice was extremely limited; in Kawempe, it was the PIP group members who managed to secure a venue for sessions. For reasons which will be discussed, it is noted that throughout the implementation the time and duration of sessions frequently changed. Each PIP group session generally followed the same format, particularly in the earlier stages of the inquiry. They began with teaching skills or concept, then the PIP group members worked largely independently within a given activity. Sessions would then usually progress on to presentations and discussions, prior to concluding with English language or computer skills training. An attempt was made at the end of each session to collectively agree the following week's agenda. Whilst this describes the general process, it is noted that sessions were regularly altered due to the need to respond to an emergent issue within the group, due to environmental hazards posing a risk to the group or because the PIP group members chose to do things differently. As will be discussed in regards to methods, the PIP facilitators planned every group session but recorded change to the plan and the reason for the change at the end of every session. Facilitation style varied throughout the inquiry; in early sessions the facilitators predominantly led, but as the PIP group members' confidence grew they took on a much more significant facilitation role. It is also noted that whilst I often led facilitation or taught key skills in early sessions, my role in facilitation and teaching was purposely reduced as the inquiry progressed. Towards the end of the inquiry, several PIP sessions were held independently by the PIP group members without the facilitators' support.

PIP activities were designed to incorporate the theoretical perspectives of the four key aspects of PIP. Each three-hour PIP session could contain up to six separate activities; over the 69 sessions that were undertaken as part of this inquiry, several hundred activities were utilised. **Appendix L** offers numerous examples of activities used, but this list is not exhaustive. Several informative activities are discussed within the findings and discussion chapter, but it is noted that activity design was informed by social action and by the four key aspects of PIP. Several activities, particularly when in relation to accountability or ethics, were created by me for the specific purpose of implementing PIP. Many activities were drawn from key texts, which include: Badham (2004), Berdan *et al.* (2006) Burns (2007), Chambers (1997), Funky Dragon (2011), Hinton and Young (2009), Hope *et al.* (1984), Lombard (1991), Mullender and Ward (1991a), Shephard (2003). Particularly within early sessions, a great deal of energy was dedicated to encouraging group identity and team-building. However, as the inquiry progressed, attention often shifted to skill and capacity building activities.

As highlighted in the original design of PIP, there was a desire for PIP group sessions to be integrated within the general management of the NGO. Throughout the inquiry, the PIP group members wrote 5 ***funding proposals*** and were involved in the ***strategic planning*** of the NGO. To enhance monitoring, evaluation and communication with UYDEL's beneficiaries, the PIP group members developed, and led, several meetings with UYDEL's beneficiaries. The groups also wrote several ***newsletters*** and presented their work at an ***NGO conference***, and at a UYDEL organised advocacy event. Several ***meetings*** to discuss the PIP group's work were held at LC3 level, with RDCs and with the police division headquarters. PIP Makindye also wrote the ***Makindye crime report***, in order to share their research findings. In addition to core group sessions, the ***Masooli workshop*** was also held upon the request of the PIP group members; this workshop brought together the PIP Kawempe and PIP Makindye groups. Held at UYDEL's vocational training centre in Masooli, the PIP group members were able to present and discuss the groups' work to each other, to UYDEL's wider beneficiaries and to UYDEL's managers. The event was predominantly organised and led by the PIP group members. Some of the PIP group members' work is available in **Appendix I; Appendix I13** offers an example of a newsletter written by PIP group members; **Appendix I10** contains the Makindye crime report and **Appendix J2** highlights a powerpoint presentation utilised to describe the PIP group's work.

YOUTH-LED ACTION RESEARCH

Facilitated by the PIP group sessions, group members conducted three youth-led pieces of action research. Makindye undertook a 100-person survey to identify major challenges within their community and a 200-person survey on urban crime. PIP Kawempe undertook a 200-person survey on youth unemployment and poverty. An important aspect of the design was that the group members should select the subject of inquiry. PIP Kawempe went through a quick process of subject selection and decided the subject themselves. PIP Makindye decided that they wanted to consult their community before choosing a subject - a decision which led to the PIP Makindye group undertaking two surveys. The findings of the initial survey, highlighted in **Appendix I8,** demonstrated that in Makindye the local community's main concern was related to crime and insecurity. However, given the unstable political context, which is explored in the findings and discussion chapter, many of the individuals involved expressed concern over the subject choice. A collaborative decision was made by the PIP facilitators, the PIP group members, my Ugandan supervisor at Makerere University and by the UYDEL managers, that the support of local leaders was necessary before proceeding with this sensitive subject. Subsequently, prior to confirming the subject choice a series of meetings and negotiations took place. The PIP group's research protocols, safeguarding mechanisms, guidance and training were also enhanced. It is noted that due to the sensitive subject selection, ethical concerns and process of attaining consent, concerns with PIP Makindye group's main inquiry were not resolved until the end of Sept 2012; ten months after the start-up stage began in Uganda. Subsequent to publication of the findings the second series of negotiations was also undertaken.

Following subject selection, each group explored the issue as a group and then proceeded to be trained in research methods. An explicit decision was made to let the PIP group members choose their own methodology: in order to facilitate this, PIP group members were taught about different approaches to research. Whilst the PIP group members were not restricted to a specific approach, it was noted that the design of activities may have affected the groups' choice of method; both PIP Makindye and PIP Kawempe chose to undertake a quantitative survey. This issue is further explored in the findings and discussion chapter. The PIP group members were supported to refine their research question and to develop relevant tools. These tools utilised the type of language and terminology preferred by the group members. As some of the young people had minimal literacy, diagrams were introduced, and training was given to support all PIP group members being able to take part in delivery. In order to ensure clarity, the PIP group members were asked to create definitions of the terms that they used, such as 'trickster'. The survey tools created by the PIP

group members are available within ***Appendix I7.*** Whilst the data collection and analysis was undertaken by the PIP group members a decision was made that the PIP facilitators would support data entry as the environment meant there was limited accessibility to computers. Data was entered and analysed by the PIP facilitators using the computer software programme NVivo and the results were then handed back to the PIP group members who subsequently interpreted the results within the group. The statistical results are available in **Appendix I8**

GROUP ACTION: MAKINDYE

Following the youth-led action research, each of the PIP groups decided to take action in different ways. Makindye decided to use their survey data for an advocacy campaign on urban crime. The group developed a report and began disseminating their findings and meeting local officials. It is noted that whilst only four pages long, the Makindye crime report took a significant amount of time to complete, as the PIP group members, UYDEL and local officials had to agree on the content. The Makindye findings demonstrated that people in slum areas are exposed to an alarmingly high crime rate. 11.2% of those interviewed reported that they have had their house broken into more than 10 times in the past year. 75.7% of individuals believed that crime had increased in the past year. The inquiry was intended to supplement official crime statistics, rather than to be offered as an alternative. However, whilst the Uganda Bureau of Statistics state in a 2012 report that 'Overall, serious crimes have had a gradual reduction over the years' (2012:vi), the young people's survey indicated a dramatic increase in crime. It was proposed by the PIP group members that this discrepancy in between data highlights that the need of those living in slum areas has not previously been identified.

GROUP ACTION: KAWEMPE

In Kawempe, the PIP group members decided to use their resources, capacities and relationships to further their action and to initiate their own youth-led business. Throughout the inquiry, the PIP group members in Kawempe collectively decided that they wished to save 3,000 UGX of their allowance each week. Contributions were recorded and the money was kept in their resource box. In order to maximise their resources further the group asked the PIP facilitators if, rather than hiring the school room for the PIP sessions, the money could be used to hire a room that could be used as a salon. The group proposed that if this was permitted then they would hold PIP group meetings within the salon. In addition, the PIP Kawempe group asked if they could use the money that had been reserved for an end of project celebration; they would sacrifice the party that had been agreed at the start. Furthermore, each PIP group member would donate non-monetary

resources such as combs, towels or bowls to the salon. UYDEL and I supported this concept as UYDEL donated a glass cabinet to the group and I donated some of my furniture. This innovative use of resources was entirely motivated by the PIP group members. The PIP facilitators decided to change activities to support the PIP group's business. A constitution developed by the PIP group members and a training manual for the salon is offered in **Appendix I2.** As the inquiry came to a close the PIP Kawempe members took on full independent ownership of the business.

NARRATIVE OF EVENTS: THE FOLLOW-UP STAGE

In order to assess the impact of the inquiry I returned to Uganda at the end of May 2013. Whilst this study was anticipated to last for four weeks, I became sick mid-way through my return; subsequently, I decided to extend the visit for a further two weeks to account for a period when I could not work. One of the main aims of my inquiry was to find a functional way in which NGO accountability could be enhanced. I intended to identify this aim by actually enhancing the accountability of my NGO partner UYDEL; I wanted to construct a new situation. As will be discussed further in the methodology section, in order to assess the outcome validity of the inquiry, I decided to undertake an impact assessment. I returned to Uganda to evaluate the impact of the entire action research process upon the accountability of the NGO.

The follow-up stage of the inquiry took place from April 2013 to June 2013. During this period, key individuals involved in the inquiry were asked to reflect upon the impact of the study. It is noted that in the period between the group-work stage and follow-up stage the PIP sessions had continued independently in both locations, without support or funding. Furthermore, the PIP Kawempe salon was still functioning as the group had complete ownership of the youth-led business. During the follow-up stage, I also managed to meet with one large donor to discuss the inquiry; but it is noted that whilst the NGO UYDEL received funding from this donor, despite several attempts to engage them throughout the group-work stage, they took no active part in the inquiry. During this stage, I also re-joined the sessions in Makindye to support the development of the Makindye crime report which is available within **Appendix I10**. The draft report was presented to the LC3 leader in each area and discussed prior to finalisation.

DIMENSIONS OF THE METHODOLOGY

This inquiry utilises a multi-layered action research approach. The different dimensions of the inquiry are purposeful but interrelated in nature. To aid my description, I utilise an approach informed by action researchers McGill and Brockbank (2004). I utilise their terms of *'dimension'* to describe the different action research approaches that are integrated into my methodology. **Figure 9** offers a diagrammatic representation of how the three main dimensions of this inquiry are nested within an overall methodological reflection.

THE FIRST-DIMENSION: YOUTH-LED ACTION RESEARCH

As highlighted in the narrative of events and description of the initial design of the practice model, UYDEL's beneficiaries were purposely engaged in action research, as it was imagined that doing so might enhance the accountability of the NGO. Within this dimension of the methodology, members would choose subject and methodology; furthermore, they would design, facilitate and analyse the research themselves. In order to ensure quality, it was viewed as important that I or the two local facilitators did not attempt to become part of the group. As such we attempted to step back from the group's action research and decision-making processes whenever possible. As with all forms of Deweyan-informed action research, the knowledge produced by those who experience is respected; within this dimension, a decision for the PIP facilitators to step back was in order to respect the PIP group members' experience and stand point. By Anderson and Herr's (2005) definition, I was an outsider in collaboration with insiders.

THE SECOND-DIMENSION: PRACTITIONER-BASED ACTION RESEARCH

The core of this inquiry is centred on the practitioner-based action research. Flood asserts that authentic understanding of any issue is only achieved if 'people enter into an action context as both a stakeholder and researcher' (Flood, 2001:122). In order to fully understand the experience of NGO practitioners and the challenges of NGO accountability, I felt it was necessary to experience accountability in context; as such, I actively sought to engage myself as an NGO practitioner as part of the inquiry. One dimension of the methodological design encompassed a second-person form of action research, similar to *Collaborative Inquiry* developed by Bray *et al.* (2000), which was discussed earlier in this chapter. My aim was to create what Anderson and Herr (2005) define as a reciprocal collaboration, whereby a team comprising of outsiders (me), and insiders (NGO practitioners), work equally and collectively in the action research inquiry for mutual benefit.

Gomm argues that 'is practitioners who really know what research needs to be done to provide knowledge that will be useful in their field' (Gomm, 2008:340).

THE THIRD-DIMENSION: INDIVIDUAL (SELF-REFLECTIVE) ACTION RESEARCH

As described in the narrative of events, this journey was initially driven by my own doctoral requirements and a desire to question my own experience as an NGO practitioner. A significant amount of this inquiry is focused upon my own reflections of NGO accountability which were undertaken prior to, during and after my field research in Uganda. Prior to departure, I developed the initial design of the practice model; during the field research, I captured a significant amount of data through personal reflective methods; and upon my return, I undertook an independent analysis of the data. As such, much of this inquiry might be viewed as a first-person form of action research; within this inquiry, I refer to this as the individual dimension of the inquiry. The individual dimension of this inquiry is nestled between a broader methodological dimension and the practitioner and beneficiary action research which was stimulated as a result of the individual inquiry.

THE FOURTH-DIMENSION: METHODOLOGICAL REFLECTION

Arguably, doctorates are intended to represent methodological training for the researcher. Whilst many doctoral studies on pragmatism and the work of John Dewey are theoretical, I chose to adopt pragmatic reasoning, which asserts that knowledge is only acquired through experience. Although undertaking practical field research is by no means unique, by having a solid understanding of pragmatism and its assertion that philosophy and theory can be utilised as a tool for creating social change, I was able to explore and test this assertion. One of the primary purposes of the impact evaluation visit was to aid my methodological reflection; I explored the overall impact of the inquiry and outcome validity of all the other dimensions. As will be highlighted in the discussions and conclusions, this inquiry not only responded to the aims regarding NGO accountability but also led to findings in regards to Deweyan informed pragmatic action research.

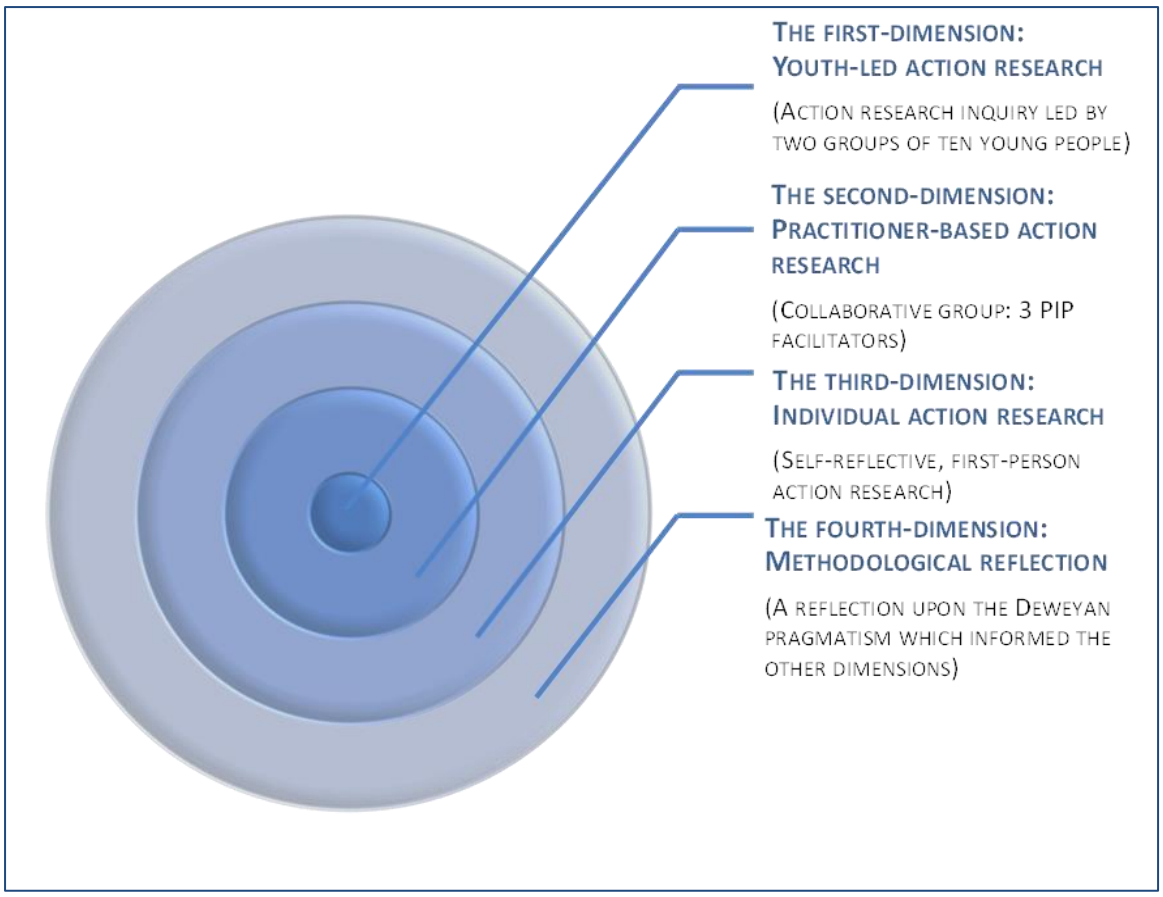


FIGURE 9: SUMMARY OF DIMENSIONS

This has important consequences for methods, as whilst pragmatists believe that knowledge is always generated by the action they draw upon methods that an idealist or materialist would use. Tashakkori and Teddlie (2003) describe pragmatism as the philosophy of 'free choice'. Whilst many action researchers today utilise qualitative methods, early action researchers, such as Lewin and Dewey, often adpoted quantitative methods within their inquiry. As a methodological genre, action research 'does not specify any constraint when it comes to the means of data collection that might be adopted' (Denscombe, 2007). However, as Webb (2012) warns, classical pragmatism should not be conflated with, or reduced to, little more than methodological instrumentalism; the process denotes, 'not a method or procedure. It stands for a more substantive theory' (Biesta and Burbules, 2003:26). The reader is reminded that Dewey's conception of transactional inquiry explores transactions between mind and matter; mental thought and the physical world. Action research methods are not chosen for their ability to capture a social reality or to uncover ultimate truths, as these objectives are not seen as possible within pragmatic thought. Rather, methods are selected based on their ability to inform or stimulate action, or to transparently convey the conditions which warranted an assertion. Pragmatists are concerned with action and experience which takes place within an environing context that contains both physical and social realities; as such, it is regarded that 'experience may be mental or physical depending upon the function performed' (Hildebrand, 2003:60). In order to select a method, 'Dewey would simply ask what methods most reliably lead to warranted assertions that help us to negotiate the world' (Fesmire, 2014: K2570).

FIRST-DIMENSION METHODS: YOUTH-LED ACTION RESEARCH

In regards to the first-dimension of the inquiry, the reader is reminded that the PIP group members selected their own subject, designed their own methodology and choose their own methods. Their decisions are discussed further within the findings and discussion chapter. I was a facilitator to the first dimension; my positionality was as an outsider to the group, not a member of it. I respect that the PIP groups generated their own knowledge on urban crime and youth unemployment and that I had a role in this knowledge generation, but this is not the subject of my inquiry. Whilst I acknowledge this inter-relationship, my focus was upon observing and capturing the process of the first dimension. As such I describe the methods which enabled me to achieve this.

SECOND-DIMENSION METHODS: COLLABORATIVE REFLECTIVE PRACTICE

As discussed previously in regards to pragmatism, I was aware that experience alone is not adequate to generate knowledge. Within pragmatism the cycle of action and reflection is viewed as integral. In order to stimulate knowledge production, I created a cyclical process of action and reflection for the PIP facilitators. In weekly ***planning and review meetings,*** the PIP facilitators would collaboratively reflect upon the past week's activities, utilising the template highlighted in **Appendix D4.** Informed by reflections, the PIP facilitators would subsequently plan future action and the delivery of subsequent sessions. Chambers utilises the term 'rigour of relevance', to describe the 'continual reflection upon the potential utility of the process and analysis' (Chambers 1997:161). The weekly planning and review meetings demonstrate that rigour of relevance was at the forefront of the PIP facilitators' minds as they regularly and continually reflected upon the potential utility of the work.

Whilst the planning and review meetings involved addressing logistical and administrative issues, time was dedicated to each meeting to reflect upon the actions of the PIP facilitators; the ***reflective practice*** was undertaken within each planning and review meeting. The reflective practice offered the PIP facilitators a chance to consider more deeply their actions. As Coghlan and Brannick highlight, in action research 'reflection is a process of stepping back from experience to process what the experience means, with a view to planning further action' (Coghlan and Brannick, 2005). Dewey proposed that reflection comprises several steps including:

1. *Doubting and feeling perplexity in relation to a given situation*
2. *Tentatively interpreting the possible meanings of the situation or factors involved in it and their consequences*
3. *Examining/exploring/analysing all considerations that might help clarify the problem*
4. *Elaborating the preliminary hypotheses*
5. *Deciding a plan of action*

(Adapted from Dewey cited in Abou Baker El-Dib, 2007:25)

As highlighted in the planning and review template, the PIP facilitators followed a process which was closely akin to Dewey's stages of reflection. The first stage of Dewey's reflection process highlights a belief that inquiry begins with doubt. For Dewey, doubt refers 'to an indeterminate situation in which difficulty is felt' (Hildebrand, 2008:53). Doubt results primarily from experience and individuals may feel doubt, that something is wrong before they can even describe it. Fendt and Kaminska-Labbé assert that 'pragmatists consider confrontation with reality through action as the principal source of doubt' (Fendt and Kaminska-Labbé, 2011:222). The process of reflection and

inquiry is viewed as helping us to identify, explore and resolve our doubts. Webb (2007) argues that pragmatism is the only philosophy whose starting point is doubt and experience as actually encountered – knowledge is generated by taking action and addressing doubt. Within the planning and review meetings, the PIP facilitators aimed to address doubt that had emerged from our recent actions and doubt in regards to accountability.

SECOND-DIMENSION METHODS: PRACTITIONER TOOLS

As discussed, within each planning and review meeting the PIP facilitators would discuss subsequent actions and plan for future sessions. Whilst discussions within the planning and review meetings were intended to be relatively unstructured, discussion led to the creation of a more concrete ***session plan***. The session plans were primarily intended as a tool for practitioners, but as will be discussed in the findings chapter, they also proved useful for highlighting change. The plans demonstrated in **Appendix L** were indications of intended action; each session plan described in detail activities to be undertaken, as well as resources required, preparation, time, facilitation, costs and ethical issues that may arise. However, the PIP facilitators' ***Session evaluations,*** which were designed to capture immediate feedback on the delivery of sessions, noted that more often than not, sessions did not go exactly to plan. The facilitators were requested to complete a session evaluation sheet at the end of every session. The session evaluation sheets, highlighted in **Appendix D5,** were printed in advance to encourage the PIP facilitators to follow a standard format of collaborative evaluation at the end of every session. The session evaluation sheets, which could be completed by any one of the PIP facilitators, required reflection upon the events that occurred within that session including unexpected events or problems. The sheets prompted discussion on what they considered went well, what they learnt from the session, what they considered could be improved, ethical concerns, how the session activities were recorded and ideas for the subsequent week.

It is important to note that the evaluation sheet was viewed as a prompt for conversation and reflection immediately after the sessions were undertaken; the primary goal was not to complete a form but to encourage collaborative discussion and reflection whilst events were fresh in the mind of the facilitators. There were four main reasons for the development of the session evaluation sheets. Firstly, by completing the session evaluation sheets immediately, facilitators could recollect events that were fresh in their mind. These events could then be discussed further within the PIP facilitators' reflection. Immediate completion of the form offered the facilitators time to reflect and think as a group and to start to abstract their tacit knowledge. As stated by Sung-Chan and Yuen-Tsang 'The knowledge embedded in professional action is tacit in nature. The process of abstract

conceptualization helps to transform the experiential knowledge into articulated knowledge' (2008:64). Secondly, collaborative construction of a narrative was also viewed as a means of enhancing the quality of the data produced. As Jacobson highlights, 'the data itself must faithfully represent actions in their contexts, collected through procedures which make it possible to distinguish what is actually happening from what the researcher wants to see happening' (Jacobson, 1998:9). Rather than relying on one person's version of events, collaborative development of the session evaluation sheets allowed facilitators to check understanding of events and their meaning with each other; thus, the forms acted as a checking and quality assurance mechanism. Thirdly, whilst all sessions were planned in advance there was a desire to capture changes and deviations which may signify what Schon (1983) refers to as 'reflection-in-action'. By asking the facilitators to record unexpected events and what actually happened, as opposed to a re-description of the intended plan, we were able to monitor change and reflection-in-action. Brockbank and McGill (2007) assert that reflection-in-action takes place when, in the midst of the action, practitioners ask themselves whether something out of the usual is occurring and if their actions are appropriate or could be improved. 'The re-thinking of some of our knowing in action leads to on-the-spot experiment and further thinking affects what we do' (Brockbank and McGill, 2007:97). The fourth reason is highlighted in the section on ethics; as the session evaluations were utilised as a safeguarding tool.

As will be discussed, the contrast between the session plan and what was intended, with the session evaluations, and what actually happened, highlighted that an inflexible blueprint approach was not viable. Throughout the inquiry, the session evaluations were consistently completed for all PIP group sessions. At an early stage I completed most evaluation sheets, but at a later stage, the writing was more equally distributed among the PIP facilitators. Towards the end of the inquiry, when PIP group members began to hold independent sessions, the group members also decided to complete these forms. The findings suggest that this tool was used consistently, perhaps due to the tool's perceived usefulness. The planning and review meetings and the session plans were less consistently utilised. At early stages of the inquiry, the session plans were very detailed. However, as the inquiry proceeded, the PIP facilitators became more confident, the PIP group members took greater control and the plans became more flexible and much less detailed. There was a plan for all 96 sessions which followed roughly the same format, but the PIP facilitators became less dependent upon utilising the plans as a facilitation guide. The planning and review meetings changed quite dramatically. This change will be discussed in regards to the findings, but it is evident the planning and review meetings became less of a tool for inquiry and more of a tool for practice. Whilst

common elements of the original design and the reflective practice were maintained, the planning and review sessions were also increasingly utilised for peer support and training.

THIRD-DIMENSION METHODS: SELF-REFLECTIVE METHODS

Whilst all the action research dimensions were related, it is important to note that I undertook a higher degree of reflection upon my own activities, which I did not request of the other PIP facilitators. I was a facilitator to the youth-led action research; I was a participant in the collaborative practitioner-based action research, but I was also undertaking my own independent doctoral study. To facilitate my independent reflection I meticulously collated documentation regarding the work undertaken and made observations of the PIP groups' activities. I also generated self-reflective and self-analytical data which supported my own reflexivity. As highlighted by McNiff *et al.,* self-reflective writing 'usually appears as diaries and logs. Diaries may be kept as records of events and also reflections on those events and consequent learning' (2003:26). Within this inquiry I utilised three main forms of self-reflective data; namely a ***diary***, ***field notes*** and ***summaries of sessions***.

Kept on a daily basis, my diary was intended to capture both my practice and facilitator reflections. Discussing action research within educational settings, Mills discusses the importance of journals. He asserts that they can represent more than a single data source – they are 'an ongoing attempt by teachers to systematically reflect on their practice by constructing a narrative that honours the unique and powerful voice of the teachers' language' (Mills, 2003:68). I made a conscious decision not to limit or pre-define the contents of my diary as I wanted to represent my authentic voice, denoting what I actually considered important at the time, rather than what I felt obliged to write about. Whilst I attempted to complete my diary each evening, I also thought that it was important to note events and thoughts as they occurred. As such I made a decision to always carry a small A5 sized notebook. Again without structure, I used my notebook to create what ethnographers often refer to as field notes. Emerson *et al.* highlight that field notes are a form of representation, that is, 'a way of reducing just-observed events, persons and places into written accounts' (Emerson *et al.*, 2001:353). Often I would utilise my field notes as prompts to complete my end of day diary entry. Having an unstructured format enabled me to capture conversations, observations and emergent thoughts but this lack of structure also resulted in my field notes becoming unruly. As Marcus states, field notes are not 'written in accord with some tightly pre-specified plan or for some specifically envisioned, ultimate use […] Field notes are unruly or messy'(Emerson *et al.*, 2001:355). Throughout the inquiry, extensive field notes were taken and the diary was written on a daily basis throughout. It is noted that the content and length of entries varied considerably, which was perhaps a reflection of my emotional state on each particular day, but there were entries for every day. I found that the

taking of field notes matched my natural tendency to write everything down; 26 A5 notebooks were completed and every page was scanned and entered digitally into NVivo. However, whilst sometimes these notes were extremely useful, at the analysis stage I realised that the failure to keep dates was problematic. Whilst I attempted to cross reference field notes with diary entries, some notes taken from field notebooks remain dateless.

In order to organise events and to reflect upon my practice, I decided to summarise my sessions at the end of each month, in what I referred to as ***session summaries.*** These summaries, whilst not analytical, represent what Chang et al. refer to as personal memory data. Whilst I utilised session evaluation sheets, diaries, field notes etc. to construct these summaries, what is significant is what I chose to represent in the summaries from the vast array of possibilities. Thus, memory data is used by ethnographers as an early form of data analysis; it highlights what the researcher considered significant at the time. Chang et al. explain that 'the primary purpose of memory work is not about collecting perfectly accurate details about your past; rather, it allows you to recollect your past as you remember it' (Chang *et al.*, 2013:75).

THIRD-DIMENSION METHODS: SELF-ANALYTICAL METHODS

Chang *et al.* (2013) use the term *self-analytical data to describe* artefacts which represent the researchers' explicit attempts to begin to critically analysing events whilst in the field. Throughout the inquiry I utilised three different self-analytical methods which highlighted my attempts in the field to critically analyse on-going events; these included ***monthly reports***, ***supervision preparation*** and ***annual reflections***. As the name infers, the supervision preparation and monthly reports were methods primarily utilised to support my supervision whilst I was out of the UK. Each month prior to supervision I compiled a summary of events thoughts and issues I would like to discuss. My aim each month was to send a report a few days prior to arranged meetings. The supervision preparation report followed a structured format which is highlighted in **Appendix D6.** Immediately following supervision, I would write a monthly report which captured my conversations with supervisors and thoughts that had emerged. This report also followed a structured format highlighted in **Appendix D6.** Whilst the supervision preparation and monthly reports were not primarily designed as a method for capturing my experience, it appeared appropriate to utilise these methods as they represented a detailed picture of my experiences and thoughts.

The annual reflections were utilised as a tool to enhance reflexivity. Each year I wrote about my personal experience as an action researcher. In particular, I attempted to analyse how my identity, beliefs and emotions might have affected the inquiry. Within this document, I was also trying to

critically analyse events, rather than just reporting events. I focused on how I was feeling and the impact events had on me personally. This document was unstructured and purely contained my thoughts and beliefs without the need to reference to external material. Within the analysis, I draw little from these annual reflections as they are highly personal. However, particularly in regards to the one written upon returning from Uganda, these documents were extremely helpful in highlighting personal experience.

THIRD-DIMENSION METHODS: CAPTURING THE FIRST-DIMENSION

In order to ensure that the group-work sessions and youth-led action research were captured for further reflection, I undertook a ***document collation*** and ***observations*** of group work activities. From the outset, there was an intention to capture events using photographs and video recordings. It is noted that throughout the inquiry the PIP group sessions were often recorded by the PIP group members who were taught how to use the camera and video recorder. Whilst this was helpful to the facilitators, the decision to do this was also informed by the PIP groups' initial apprehension of being recorded. Whilst this will be discussed further, handing over recording equipment and giving group members' control, was viewed as important for establishing trust. The original intention was to record all sessions, but this proved more complicated than first anticipated, as there were risks associated with carrying valuables within the slum areas and because there was limited access to electricity.

To facilitate data entry, non-digital forms of data such as flipcharts and drawings were photographed or scanned into digital form. All digital records were given file names consisting of location, date and unique ref no. Because of the limitations in transporting the huge amount of physical data from Uganda to the UK, once digital records were created and secured, hard copies were destroyed. The data was categorised within the data analysis programme NVivo 9. Video and audio footage were transcribed within the programme itself, allowing nodes to be created alongside simultaneous recordings. Documents and photographs were given nodes recognising date, location and person involved. Undertaking this activity allowed sources to be cross-referenced against each other; e.g. diary entries could be cross-referenced with session evaluation sheets and photographs if pertaining to the same day. Furthermore, by defining attributes of such as location, date, age, gender and position of persons involved, I could further disaggregate data.

The methodological design of the first and second dimensions of the action research meant that a multiplicity of perspectives influenced implementation. Winters considers the principle of dialectics and asserts that in good narrative accounts 'the researcher does not base his/her research text on

his/her own monologous voice, but combines in the text different interpretations and voices—even dissonant ones' (Heikkinen *et al.*, 2007:13). In order to check and cross-reference my interpretation of events at the mid-term point in the inquiry, I undertook a series of ***semi-structured interviews*** which were designed to capture the voice of other individuals who had been involved in the practitioner-based action research. As highlighted in the interview schedule, **Appendix D1** participants were asked to comment on their experience and the design of the practice model. The process of interviewing lays emphasis on depth, nuance, complexity and roundedness of data that would not be possible to attain by utilising quantitative methods. The semi-structured nature of the interview allowed for relative consistency among interviews whilst also creating space for clarification and elaboration. Each interview resulted in a combination of both pre-planned and unplanned questions thus 'allowing the interviewer some discretion to create new questions in response to the participant's answers' (Carey, 2009:K3368) Carey highlights that one of the key benefits of focus group research remains its ability to save both time and resources as, ' a considerable amount of information and other data can be collected during a brief meeting' (Carey, 2009:K3747).

It was originally intended that a ***group members' session evaluation*** was to be videoed at the end of every PIP group session. This was intended as a means of evaluating the PIP group members' perspective on each session, utilising non-literary processes. The PIP group members constructed their own evaluation questions, interviewed each other and video recorded the responses themselves. This process worked relatively well for approximately the first two months. After this time, however, the PIP group members highlighted that they thought it was boring and that they didn't want to do it anymore. In respect to their views, recording ceased at this stage.

FOURTH-DIMENSION METHODS: IMPACT ASSESSMENT

The discussion on quality highlighted the importance of assessing outcome validity. In order to facilitate this, I decided to conduct an impact evaluation during the follow-up stage. ***Semi-structured interviews*** were held with UYDEL staff, the local facilitators and one donor. The explicit purpose was to discuss the inquiry process and the impact PIP the practice model had on the NGO's accountability. A decision was made to hold focus group discussions with the PIP group members so to avoid the time issues that were encountered during the mid-term evaluation. The group responded to the same questions as the other individuals but this activity was undertaken collectively. The interview schedule for the evaluation visit can be seen in **Appendices D2 & D3.**

SUMMARY

	METHOD	TOOL /DATA	APPENDIX	SUBJECT	COLLECTED BY	DATE/ STAGE	REF.
FIRST-DIMENSION: YOUTH-LED ACTION RESEARCH	SURVEY	SURVEY QUESTIONNAIRE	APPENDIX I	LOCAL PROBLEMS – MAKINDYE	PIP GROUP MEMBERS	GROUP-WORK STAGE	PIP SURVEY, MAKINDYE 1 (PIPS – M1)
	SURVEY	SURVEY QUESTIONNAIRE	APPENDIX I	URBAN CRIME – MAKINDYE	PIP GROUP MEMBERS	GROUP-WORK STAGE	PIP SURVEY, MAKINDYE 1 (PIPS – M2)
	SURVEY	SURVEY QUESTIONNAIRE	APPENDIX I	YOUTH UNEMPLOYMENT - KAWEMPE	PIP GROUP MEMBERS	GROUP-WORK STAGE	PIP SURVEY, MAKINDYE 1 (PIPS – K1)
SECOND-DIMENSION: PRACTITIONER-BASED ACTION RESEARCH	SESSION EVALUATION	SESSION EVALUATION SHEET	APPENDIX D5	GROUP ACTIVITIES / PIP FACILITATORS' REFLECTIONS	PIP FACILITATORS	GROUP-WORK STAGE	SESSION EVALUATION, PIP FACILITATORS (SE-PF)
	PLANNING AND REVIEW MEETINGS - RECORD	PLANNING AND REVIEW GUIDANCE SHEET	APPENDIX D4	GROUP ACTIVITIES / PIP FACILITATORS' REFLECTIONS	SELF	GROUP-WORK STAGE	PLANNING AND REVIEW MEETING, PIP FACILITATORS (PRM-PF)
	PLANNING SHEET	SESSION PLAN	APPENDIX L	FUTURE PIP GROUP ACTIVITIES	PIP FACILITATORS	GROUP-WORK STAGE	SESSION PLAN, PIP FACILITATORS (SP-PF)
THIRD-DIMENSION: INDIVIDUAL ACTION RESEARCH	DIARY	UNSTRUCTURED NOTEBOOK	N/A	ALL ACTIVITIES AND PRACTICE / REFLEXIVE SELF	SELF	ALL	DIARY ENTRY (DE-S)
	FIELD NOTES	UNSTRUCTURED NOTEBOOK	N/A	ALL ACTIVITIES AND PRACTICE / REFLEXIVE SELF	SELF	ALL	FIELD NOTES (FN-S)
	SESSION SUMMARIES	UNSTRUCTURED DOC.	N/A	ALL ACTIVITIES AND PRACTICE / REFLEXIVE SELF	SELF	ALL	SESSION SUMMARIES (SS-S)
	MONTHLY REPORT	MONTHLY REPORT TEMPLATE	APPENDIX D6	ALL ACTIVITIES AND PRACTICE / REFLEXIVE SELF	SELF	ALL	MONTHLY REPORT (MR-S)
	SUPERVISION PREPARATION	SUPERVISION PREPARATION TEMPLATE	APPENDIX D6	ALL ACTIVITIES AND PRACTICE / REFLEXIVE SELF	SELF	ALL	SUPERVISION PREP (SP-S)

	Method	Tool /data	Appendix	Subject	Collected by	Date/ Stage	Ref.
	Annual reflections	Unstructured doc	N/A	Reflexive self	Self	All	Annual Reflections (AR-S)
	semi-structured interviews	Interview schedule	Appendix D1	Group members' reflections	PIP facilitators	Follow-up stage	Mid-term Evaluations, Group members (ME-GM)
	semi-structured interviews	Interview schedule	Appendix D1	Donors' reflections	Self	Follow-up stage	Mid-term Evaluations, Donor (ME-D)
	semi-structured interviews	Interview schedule	Appendix D1	Local facilitators' reflections	Self	Follow-up stage	Mid-term Evaluations, Local Facilitator (ME-LF)
	semi-structured interviews	Interview schedule	Appendix D1	UYDEL managers' reflections	Self	Follow-up stage	Mid-term Evaluations, UYDEL manager (ME-UM)
	End-of-session evaluation	video of PIP group own evaluation	evaluation questions - appendix I1	groups' reflections	PIP group members	Group-work stage	Session Evaluation, Group Members (VSE - GM)
	Observation	video of group activity	N/A	group activities	PIP facilitators / PIP group members	Group-work stage	Video, Group Activity (V-GA)
	Observation	Audio	N/A	to capture PIP group activities	PIP facilitators / PIP group members	Group-work stage	Audio, Group Activity (A-GA)
	Observation	Photographs	N/A	PIP group activities	PIP facilitators / PIP group members	Group-work stage	Photo, Group Activity (P-GA)
	Observation	Photographs of flip charts	N/A	PIP groups' work	Self	Group-work stage	Photo, Groups' Work (P-GW)
	Document	Document produced	Examples	PIP group members	PIP	Group-work	Document Groups' Work (D-GW)

	Method	Tool /data	Appendix	Subject	Collected by	Date/ Stage	Ref.
	collation	by groups' work	appendix I		facilitators	stage	
	Document collation	group's funding applications	N/A	PIP groups' work	PIP facilitators	Group-work stage	Funding application, Groups' Work (FA- GW)
	Document collation	information document regarding groups	N/A	Various	PIP facilitators	Group-work stage	Information document, Various (IO-V)
	Document collation	Admin docs	Examples appendix H	PIP group members	Self / PIP facilitators	Group-work stage	Administrative document (AD-S)
	Document collation	Ethics docs	Examples appendix F	PIP group members	Self / PIP facilitators	Group-work stage	Ethics document (ED-S)
Fourth-dimension: Methodological Reflection	focus group discussions	Interview schedule	Appendix D3	Group members' reflections	PIP facilitators	Follow-up stage	Final evaluation, group members (FE-GM)
	semi-structured interviews	Interview schedule	Appendix D2	Donors' reflections	Self	Follow-up stage	Final evaluation, Donor (FE-D)
	semi-structured interviews	Interview schedule	Appendix D2	Local facilitators' reflections	Self	Follow-up stage	Mid-term Evaluations, local facilitators (FE-LF)
	semi-structured interviews	Interview schedule	Appendix D2	UYDEL managers' reflections	Self	Follow-up stage	Mid-term Evaluations, UYDEL manager (FE-UM)

Table 3: Summary of methods and tools used in the inquiry

ETHICS

As discussed previously, I consider ethical rigour as a vital part of this inquiry and thus an integral part of the methodological design. As an action researcher practice becomes part of the research act; as such I regard practice ethics to be equally as important as research ethics. Whilst research and practice ethics are inter-related I discuss each area separately. This inquiry was reviewed by De Montfort University, Makerere University, the Uganda National Council for Science and Technology (UNCST), the partner NGO, Uganda Youth Development Link (UYDEL) and the Resident District Commissioner (RDC) that was situated in both Kawempe and Makindye divisions of Kampala. In order to ensure ethical rigour the design of the inquiry was written in accordance with the ethical standards for research as defined by the British Association of Social Workers (BASW) code of ethics for social work (2002); and the UNCST national guidelines for research involving humans as research participants (2007). It is noted that as the action research approach evolved, so did the ethical design of this inquiry. Whilst some aspects of the ethical development are discussed in more depth throughout the findings and discussion chapter, I present a general overview of this section.

RESEARCH ETHICS

During the design stage of inquiry, I was required to submit an ethics application in order to progress to the next stage of the inquiry. As the precise nature of the action research methodology was yet to evolve, this stage of the inquiry offered an introduction to the action research and a general description of the proposed stages of the inquiry. An integral part of this initial ethical proposal was to highlight that my own safety as a researcher had been considered. Informed by the DIPECHO[36] security guidelines, an extensive risk assessment was undertaken. This risk assessment quantified vulnerability through creating nomothetic indicators for potential impact, probability and resilience in regards to defined hazards; it is made available in **Appendix E3.** The risk assessment highlighted several measures that I could undertake to enhance my safety and to mitigate risk. Mitigation measures included the acquisition of suitable travel insurance, a factor influenced by Uganda's lack of health care services. It is noted that it was deemed necessary to purchase specialist insurance as to ensure that acts of war and terrorism were incorporated into the cover. My supervisors were given emergency details, copies of my insurance, travel plans and an international phone in case I needed to contact them in an emergency situation; regular check-in times were pre-arranged. Furthermore, time was dedicated to ethical reflection and a security briefing within all monthly

[36] The European Commission's Humanitarian Aid department (ECHO) launched its Disaster preparedness programme, DIPECHO, in 1996.

supervisions. The risk assessment highlighted that the greatest risk I was likely to encounter was related to travel. As such, it was agreed that I should avoid the use of the motorbike taxi known as boda-bodas.

Once the start-up stage had led to the identification of the NGO partner, sites of inquiry and type of individuals engaged, amendments were made to the ethical approval awarded by De Montfort University. As discussed within the narrative of events, within the start-up stage the ethical design was also subject to review by Makerere University, the Uganda National Council for Science and Technology (UNCST), the partner NGO and Uganda Youth Development Link (UYDEL). It is noted that each of these bodies reviewed proposals on at least two occasions. Once the site of the inquiry was known the NGO partner also stipulated additional measures to ensure the safety of the local facilitators, the group members and me. It was agreed that no one should work in the slum areas after dark, and that group sessions should cease in Kawempe when it started to rain. It is noted that these mitigation measures resulted in various changes to the inquiry, but this is discussed at greater length in the findings and discussion chapter.

Speaking in regards to research, Morrow asserts that 'ethics exist to ensure that the principles of justice, respect and avoiding doing harm are upheld, by using agreed standards' (2009:2). Subsequently, as part of the research ethics, I considered potential risks to participants, an individual's right to withdraw and the need to attain informed consent. The BASW code of ethics states that in all cases the researcher shall 'respect the participants' absolute right to decline to take part in or to withdraw from the research programme' (BASW, 2002:15). Informed consent implies two related activities: Israel and Hays highlight how, 'participants need first to comprehend and second to agree voluntarily to the nature of the research and their role within it' (2006:61). The national child participation guide for Uganda highlights that before engaging in any form of participation individuals should be made aware of the purpose of participation; 'the background, purpose, risks, possible outcome, roles and responsibilities for their involvement' (Ministry of Gender, Labour and Social Development et al., 2008:27). Whilst English proficiency is generally good within Uganda's urban population, the population is diverse - speaking multiple regional dialects. Before engaging with local community members, children and PIP group members' advice regarding appropriate language was sought from Makerere University and UYDEL managers. As will be discussed in the findings and discussion chapter, choice of language was problematic. After some deliberation it was agreed that I should provide information sheets and consent forms written in English; however all information was translated verbally. As the group sessions began all members were asked to sign consent for the duration of the inquiry. In cases where individuals were below

the age of 18, a parent or guardian was also asked to give consent alongside the young person. In regards to individuals aged less than 18 years, a focus was placed on ensuring the active agreement of the young people involved. As Williamson and Prosser note, action research is a journey, evolving through participation, reflection and purposeful action. As such, it was recognised that 'neither researcher or participants know where the journey will take them in advance, and cannot fully know to what they are consenting' (Williamson and Prosser, 2002:589). To address this issue, PIP group members were asked for consent every time a group session was recorded after explaining the reason and end purpose of the recording. When engaging in interviews of Focus Group Discussions (FGDs), every individual was asked for consent. PIP group members were informed of the purpose of the inquiry and their right to withdraw and asked to consent on numerous occasions; as will be discussed this was particularly important in Kawempe as some group members highlighted distrust of researchers. Furthermore, to ensure understanding, group members were asked to explain the inquiry, rather than just asking the yes or no question, 'Do you understand?' In regards to staff members working for UYDEL, as part of the informed consent interviewees were also asked to consider the NGO's organisational policy and potential conflicts of interest. Particularly in cases where individuals were acting as PIP facilitators and social workers for the organisation, it was viewed as important to consider priorities and safeguarding implications before granting consent.

Confidentiality is a broad term which 'recognises that the researcher may be entrusted with private information' (Scheyvens and Storey, 2003:146). Within the information provided on the inquiry, participants were assured that their identity and the information that they disclosed would be kept confidential under most circumstances. In order to ensure confidentiality, hard copies of transcripts or personal information relating to interviewees were kept in a locked filing cabinet. Computerised transcripts and digital recordings were downloaded on to password-protected files. Particularly sensitive documents in hard copy form were digitally captured, by photographing or scanning, and kept on a protected file; original copies were burnt. Whilst confidentiality is a broad term which encompasses all information, it is noted that anonymity more specifically refers to the researcher's responsibility to keep the identity of the participants private. Within this inquiry, the group members expressed a wish for their identity to be known. They requested that their picture was shown and their first name. As the reader may have noted, this wish was respected at the start of this thesis. However, within this document the specific location of each inquiry site, the parish within Kampala, is not disclosed; the location which each young person was involved with was not disclosed and the specific statements or findings are not linked to a person or location.

PRACTICE ETHICS

As described in the narrative of events, the action research process involved work with young people in Uganda; subsequently, it was deemed necessary to incorporate practice ethics into the methodological design as well as research ethics. The practice ethics were informed by the BASW code-of-conduct (2002) and by the National Youth Agency (NYA) principles of ethical conduct (2000).

As defined by the NYA, an essential part of practice ethics is to 'Promote and ensure the welfare and safety of young people' (2000:6). Prior to signing the ***Memorandum of Understanding (MoU***) with UYDEL, I engaged in an extensive and collaborative process of reviewing the NGO's safeguarding mechanisms. The first stage of this process involved a review of UYDEL's child protection policy to ensure that it adequately covered the action research process, photography and use of data. Subsequent to discussions I supported UYDEL to re-write their ***child protection policy***. As highlighted within the MoU, available **in Appendix F1,** it was agreed that whilst I would manage safeguarding issues on a day-to-day basis, overall responsibility and decision-making would remain with UYDEL. It was agreed that any emergent safeguarding issue should be dealt with in conjunction with UYDEL and their staff who were trained social workers and familiar with the cultural context. In respect to this, the ***incident reporting form*** was created to ensure that the facilitators had a tool for recording emergent events accurately. Once completed, incident reporting forms would be passed onto UYDEL staff so that a record of the incident was maintained in case a criminal investigation was needed. Protocols for managing disclosed or witnessed events of concern were highlighted at the end of the incident reporting form and written into the **PIP *staff code-of-conduct***. The PIP staff code-of-conduct was based upon the British Association of Social Workers code-of-conduct (2002) and the National Youth Agency (NYA) principles of ethical conduct (2005).

To ensure the ethical and appropriate employment of the PIP facilitators, ***interview questions*** were developed collaboratively with UYDEL. The questions were designed to include ethical dilemmas within vignettes in order to assess the candidate's ethical awareness. Subsequent to engagement all facilitators' backgrounds were subject to checks. It is noted that all persons engaged with young people as part of the inquiry. I provided the NGO with copies of qualifications, an introduction letter from De Montfort University and a copy of a UK criminal records check. The local facilitators were requested to provide two references. Furthermore, ***employment contracts*** were subject to the facilitators signing a ***statement of commitment*** to the newly developed child protection policy and code-of-conduct. Upon employment both local facilitators received an induction which encompassed training on ethics as well as an induction to the staff code-of-conduct, the child

protection policy and safeguarding mechanisms. It is noted that the memorandum of understanding between UYDEL and myself was only finalised once the ethical issues had been negotiated and agreed. Signed by both parties, the signing of the MoU marked the start of the official collaboration with UYDEL. The MoU, child protection policy, incident reporting form, pre-employment form, employment contract, reference request letter and statement of commitment which were developed for the purpose of practice ethics are available within ***Appendix F***

As will be discussed in the findings and discussion chapter, the inquiry proved to be ethically complex. In addition to challenges such as an Ebola breakout and flooding, the inquiry was complicated by the choice of methodology. Coghlan *et al.* are among several authors to highlight, given the iterative nature of action research 'which evolves through cycles of action and reflection, it is not feasible to map out a detailed anticipation of ethical issues in advance which will cover all eventualities' (2005:538). Thus, in order to ensure ethical rigour, I created systematic points of reflection and continuous safeguards. The methodological design and ethical consent were submitted and approved in stages. Furthermore, after every session with young people, I ensured that the facilitators reflected upon ethics issues. This was viewed as an essential safeguarding mechanism as it highlighted the importance of ethics, encouraged facilitators to reflect on emerging issues and facilitated immediate response to issues of concern. The iterative action research process also meant that as the methodology developed, so did the ethics. Whilst the development of the practice ethics are discussed further within the findings and discussion chapter, it is noted that research protocols for the youth-led action research, ethical guidance for staff, training for PIP group members and the appointment of an ethics officer from each group were developed in the course of the inquiry to support practice ethics.

BENEFICENCE

The World Health Organisation states that beneficence refers to 'a duty to safeguard the welfare of people/communities involved, which includes minimizing risks and assuring that benefits outweigh risks' (2007:7). When considering the time and cost implications of sessions, it was considered important to acknowledge the significant contribution made by the PIP group members involved. As noted by McLaughlin, participants can expend 'a large amount of time and energy as well as providing access to their networks, language and culture (Mclaughlin, 2007:102). It is noted that particularly in contexts where people's basic survival is difficult and people live 'hand-to-mouth', 'people's time is not costless' (Chambers, 1997). For the NGO, the role of PIP group members was seen as distinct from how it usually engaged with other beneficiaries. As such, it was agreed with the NGO partner that PIP group members should be paid in order to acknowledge their time and

contribution. The PIP group members received 5,000 UGX (approx. £1.25) every time they attended a PIP session. It is argued that 'we must actively attempt not only to avoid harms but to benefit those studied' (Cassell cited in Anderson and Herr, 2005:116). During the engagement sessions which occurred at the start-up stage of inquiry, UYDEL's beneficiaries were also asked their opinion regarding beneficence. In addition, to the allowance, UYDEL's beneficiaries requested that they would also receive English language tuition, a certificate of participation, a graduation party and an identification (ID) card. The ID card was significant to the young people involved as many had no birth certificate or another form of identification, an issue which inhibited undertaking various activities, such as opening a bank account or registering a mobile phone. As will be discussed, additional forms of beneficence emerged throughout the inquiry.

In a broader sense, the concept of beneficence extends not only to the individuals involved but to the country in which the inquiry takes place. It was noted that research conducted by international academics in Uganda may not have any immediate impacts and may not be accessible to those who take part, due to high journal subscription costs. As such, withdrawing time and resources for the purposes of research without returning any benefit to the country may be seen as exploitative. Mowforth and Munt have described research in third world countries as '*academic tourism*' (Scheyyvens and Story, 2003:2). The UNCST has responded to a critique that many researchers have in the past conducted research in Uganda which has not benefitted the participants or country by demanding that researchers must submit to the local institution 'a copy of the prepared manuscript or publication arising from the research work' (UNCST, 2007:44). Arguably, it was the concept of beneficence which led to a decision, described previously, that all research must demonstrate a link to a Ugandan academic institution before research consent will be granted.

ANALYSIS

Within this inquiry, I adopted a phased approach to data analysis in order to identify emergent themes. Anderson and Herr highlight that, from the initial meaning making through to the revisiting of the data for a more holistic understanding, there are multiple layers to the data analysis process (2005:81). The first phase of analysis started to emerge in the field. As I engaged in the practitioner-based action research I started to understand in some way how the practice model was developing; I was also continually engaged in reflecting upon my own actions as part of the individual dimension of this inquiry. Bryman and Burgess stress that when conducting field work, 'the researcher ought to be constantly engaged in preliminary analytic strategies' (1994:7). The process of analysis undertaken whilst in Uganda allowed me to identify points of interest and initial identification of potential themes that would require more formal analysis within the UK. However, as I was intrinsically involved in the process of data production, upon my return to the UK I felt it was important to give myself some initial distance from the data. When I initially returned to the UK, I gave myself a month before attempting the next phase of analysis.

Subsequent to an attempt to emotionally distance myself from the data, I re-familiarised myself with what was actually recorded. As Ritchie and Lewis highlight 'familiarisation, though it may seem an obvious step, is a crucial activity at the start of analysis' (Ritchie and Lewis, 2003:211). Rather than focusing on my own memory of events, I began by cross-referencing and categorising events within NVivo. All data was labelled with date, person, and location. Over three thousand documents, digital records of the group's work, digital records of diary entries and notebooks, photos, audio and video were all entered into one NVivo file. I utilised NVivo's transcription function[37] to capture records of interviews. Due to the vast array of data produced, I decided to narrow the field of analysis by utilising what Layder (2012) defines as ***orientating concepts*** of impact and change. As Layder highlights, initial coding through the use of orienting concepts offers 'direction and guidance for data analysis, without predetermining or preconceiving the outcome of the process' (Layder, 2012:138). Impact and change were selected as orientating concepts due to their theoretical relevance to pragmatism and action research.

[37] *NVivo's transcription function allows the author to transcribe against the video and corresponding timeline.*

The first orientating concept of change was selected to highlight decisions and action taken as part of the action research cycle. In reference to action research Wilson highlights that 'the concept of action research is that of simultaneously bringing about change in the project situation (the action) while learning from the process of deriving change' (Wilson, 1990:2). As such, within the data, I looked for points of change. Specifically:

1. Examples of change (to the people involved, to practice model facilitation or design)
2. Reasons why change was stimulated (events and persons stimulating change)
3. Reasons why intended change was limited/ stagnated
4. Consequences of change (positive or negative)

When points of change were identified I coded the data by allocating *nodes* in NVivo. Rather than summarising or labelling each node, I decided to use the code in NVivo function which creates a node against the text, without changing or labelling content. Whilst I examined the data for cases of change or impact, conceptualisation of change and impact were not restricted or predetermined beyond the broad framework offered. Originating concepts are utilised as a starting point for analysis; within this broad framework, further themes emerge. From the coded items on change, I identified three major themes; I subsequently labelled these themes as (1) complexity (2) power and (3) process.

COMPLEXITY

A focus upon change meant that I was not conceptually bound to look for a specific type of data; as noted previously, pragmatists recognise both physical and conceptual social realities. Change could be caused by a much wider array of factors than I imagined, from small localised events to global events. It was often periodic and non-linear; often change would occur rapidly and unexpectedly. Whilst I noted a certain degree of *path-dependency*, one change could trigger a sequence of subsequent changes. I also recognised that it was impossible to predict future change based on assumptions about what happened in the past. Within this theme, which I call complexity, I describe the complexity of the local and global context; how change was unexpected and how people factored into this complexity. As shown in **Table 4** below, the sub-themes of complexity also give note to how implementation became complex in order to ensure and to respond to the participatory process.

COMPLEXITY		
1A. COMPLEXITY OF CONTEXT	**1B. COMPLEXITY OF INDIVIDUALS**	**1C. COMPLEXITY OF PARTICIPATION**
1A.1 COMPLEXITY OF WORK IN SLUM AREAS	1B.1 COMPLEXITY OF DIVERSE SKILLS AND CAPACITIES	1C.1 A DESIRE TO ACHIEVE AUTHENTIC PARTICIPATION CREATED COMPLEXITY
1A.2 COMPLEXITY OF NATIONAL AND GLOBAL POLITICAL CONTEXT	1B.2 COMPLEXITY OF DIVERSE MOTIVATIONS AND INTERESTS	1C. 2 COMPLEXITY EMERGED AS A RESULT OF AUTHENTIC PARTICIPATION
1A.3 COMPLEXITY OF UNEXPECTED EVENTS	1B.3 COMPLEXITY OF PARTICIPANT LIFE EVENTS AND VULNERABILITY	

TABLE 4: THEME 1 – COMPLEXITY

Sub-theme 1A.1 explores points of change that emerged as a result of local contextual issues whilst working within Kampala's slum areas. For example, flooding in the Kawempe area regularly caused sessions to be delayed or cancelled. This group's activities lagged behind the Makindye group as their work was regularly affected by this environmental hazard. The fact that this issue only affected one of the two sites emphasised a lack of homogeneity between the two areas. As the inquiry progressed highly localised differences emerged: the complexity of culture and language, as well as

differing degrees of receptiveness to outsiders varied greatly. These issues were only possible to identify by acquiring an in-depth understanding of each area. As the complexity of the environment was further uncovered, implementation was regularly changed in order to respond to emergent issues. ***Sub-theme 1A.2*** highlights how global and national complexity impacted upon implementation. For example, in order to proceed with the youth-led research the facilitators and young people had to negotiate complex governance systems that comprised of traditional, appointed and elected leaders. The process of acquiring consent took over six months to achieve. Despite eventually coming to terms with the complexity, the whole process was thrown into jeopardy when political events prompted the president to suddenly dismiss and re-appoint local leaders within Kampala. The sudden change in political governance is one example of rapid points of unexpected change. ***Sub-theme 1A.3*** highlights how unexpected events, such as political re-organising, riots, a fatality and two Ebola breakouts acted as tipping points, destabilising work undertaken and instigating change. Whilst response to unexpected events often felt reactive, as individuals struggled to manage the complexity they were faced with, these events often brought with them opportunities for innovation and rapid change which had a longer-term positive effect upon implementation. For example, as the facilitators were confronted with a series of challenging political and emotional events they began to use the planning and review meetings as a coping mechanism; the meetings provided a much needed supportive environment. The planning and review meetings were not intended to be used in this way, but the adoption of this approach proved to be an effective means of practitioner support throughout the inquiry.

As complex as the context and unexpected events were, change also originated as a response to, and the result of, the complexity of people. Theme 1B focuses on the complexity of individuals, their unique attributes, lack of homogeneity and ability to make unpredictable choices. In the early stages of implementation, the facilitators rapidly learnt that implementation could not be run in parallel between the two groups, as there was a distinct difference in ability and language. ***Sub-theme 1B.1*** highlights how design and implementation of sessions changed in response to the unique needs and abilities between groups and within groups. The young people's initial reason for becoming engaged in PIP was generally driven by a desire to acquire status or to learn English. Whilst the design of PIP was always focused on enhancing accountability, it was not a primary goal of most young people at the start of the inquiry. As time progressed, the motivation of all involved appeared to change; as a result, the content and direction of implementation also changed. ***Sub-theme 1B.2*** brings together points of change caused by the motivations of those involved. S***ub-theme 1B.3*** recognises how the complexity of context impacted upon those involved. PIP purposely engaged marginalised individuals. Although the PIP group members were not the subject of this inquiry, it is noted within

this sub-theme that changes to implementation occurred due to the complex lives of those engaged. It also denotes the measures the PIP facilitators undertook to ensure that the sessions remained accessible, despite any challenges encountered by the PIP group members.

Arguably, in a participatory approach, such as the one utilised in this inquiry, the complexity of individuals becomes more significant as decision-making and control of the process is to a large degree relinquished from any one person. Section 1C brings together points of change that were created in order to facilitate participation and points of change that were a response to participation. Fostering the participation demanded by the design of PIP, the practice model was a complex and non-linear process. ***Sub-theme 1C.1*** highlights the significant amount of changes undertaken by facilitators in order to create a participative environment. Changes of room layout, facilitation style, resource management and activity design were all introduced to support participation. When participatory activities were undertaken facilitators often felt a loss of control, as sessions were directed by young people and implementation often took new and unexpected paths. ***Sub-theme 1C.2*** highlights how participation led to complexity, for example, how the young people's choice to manage their own resources and session location actually led to the initiation of a youth-led business which had not been planned or anticipated by the facilitators.

POWER

Whilst complexity was evident, it is also important to note that the changes that emerged appeared to indicate power at play. As highlighted below in **Table 5,** the study indicated that power manifested in what were regarded as visible, hidden and invisible ways. The theme of power explores how the PIP facilitators attempted to foster empowerment in both liberal and liberating ways. It also explores how the PIP group members appeared to become empowered, not only in regards to their role as an accountability stakeholder but as individuals.

POWER		
2A. MANIFESTATIONS OF POWER	**2B. LIBERAL AND LIBERATING EMPOWERMENT**	**2C. EVIDENCE OF EMPOWERMENT**
2A.1 VISIBLE POWER	2B.1 LIBERAL EMPOWERMENT APPROACHES	2C.1 'POWER WITHIN' ENHANCED
2A.2 HIDDEN POWER	2B.2 LIBERATING EMPOWERMENT APPROACHES	2C.2 'POWER WITH' ENHANCED
2A.3 INVISIBLE POWER		2C.3 'POWER TO' ENHANCED

TABLE 5: THEME 2 – POWER

Recognising that some accountability actors appeared to exert a *power over* the accountability process, sub-theme 2A explores manifestations of power. ***Sub-theme 2A.1*** recognises that the PIP facilitators, UYDEL and the government of Uganda, exerted explicit, *'visible power'* over the implementation of activities. By maintaining ultimate control over resources, by creating boundaries of participation and by halting activities because of ethical concerns, it is evident that some accountability actors utilised their power to control events. Whilst this type of control was captured in the data, it is also apparent that such visible manifestations of power were rare events. ***Sub-theme 2A.2*** gives insight to how power and control, otherwise referred to as '*power over'*, frequently manifested through systems, language and the NGO decision-making process rather than through overt and direct means of dominance. As will be discussed, the data indicated how '*power over*' manifested in ways which were often hidden.

The concept of *'hidden power'* explores the normal way of doing things, and how powerful actors set the terms of engagement, creating bias NGO accountability. One example of this was how one particular donor noted that it encouraged participation with young people, but only on subjects that they considered important, at times they felt convenient and with young people that they invited. Whilst the PIP groups tried to engage with various donors, they found doors closed when participation was not on the terms of the more powerful actors. In this sub-theme, attention is also brought to the discourse and language used, how the language taught to the young people enabled them to engage in conversations they were previously excluded from, and how facilitators attempted to utilise the language used by the PIP group members. Again dimensions of power are evident as the language was changed to suit the preferences of the most powerful. ***Sub-theme 2A.3*** moves on to describe how power sometimes manifested in invisible form; maintained through internal oppression or *'felt power',* this type of *'invisible power'* was viewed as subtle but pervasive. In regards to donors and the government, the data highlighted that whilst there was exceptionally little direct involvement these actors still exhibited power over the NGO's accountability. The facilitators and young people acted in accordance with what they thought these actors wanted and desired. For example, the PIP Makindye group altered its subject area; not because they were explicitly told to do so by a government official, but because those involved feared possible detrimental consequences of pursuing a subject which they believed the government would feel was inappropriate. This manifestation of '*invisible power'* was evident in the way that many actors never questioned the status quo or negative beliefs regarding their own potential and capacity. As will be discussed, it took substantial effort to alter people's perception of what was possible.

PIP the practice model was designed to empower the NGO's most marginalised accountability. However, as the study unfolded it became apparent that the PIP facilitators were approaching this feat in several ways. As highlighted in ***sub-theme 2B.1,*** from a liberal empowerment perspective it was evident that the PIP facilitators explicitly tried to open up spaces for participation. PIP groups were designed to create spaces for participation and to enable young people to generate knowledge that would assist the NGO to ensure and demonstrate responsible action. Whilst the PIP facilitators maintained some degree of a *liberal approach* to empowerment, as they continued to create and protect spaces for participation, attention shifted to more liberating empowerment approaches as the inquiry progressed. The facilitators and session design changed to focus upon *power to, power within* and *power with*. ***Sub-theme 2B.2*** focuses upon liberating models of empowerment. It is evident that the design of the practice model changed to encompass more aspects of capacity and skill development For example, whilst the original design of PIP the practice model incorporated research training, it was the PIP group members who stimulated change by

highlighting the importance of training in other areas. The language, public speaking and computer training that emerged as a result of the young people's request can be viewed as a change to the '*power to*' dimension of the design. As the groups started meeting, facilitators noted that merely bringing together young people was not enough to stimulate change. As a result a number of activities were specifically introduced to support group development and collective identity; these changes can be viewed as a development of the '*power with*' dimension of the design. Particularly in the Kawempe group, it was frequently noted that the young people appeared to lack faith in their own capacity and potential. The facilitators viewed that this issue inhibited work and stifled progress. Whilst the PIP facilitators tried utilising practical methods to enhance confidence, such as purchasing t-shirts for the group and giving young people identity cards, they also introduced critical thinking and confidence- building activities.

Finally, sub-theme 2C examines the change that was witnessed. ***Sub-theme 2C.1*** highlights that the PIP group members' confidence and self-esteem appeared to increase. For many of the individuals involved it was the change of the PIP group members' '*power within'* that was most significant. This new sense of power changed individuals' concept of what is possible and helped them to become more critically aware. ***Sub-theme 2C.2*** more specifically explores the collective agency that was demonstrated. As the inquiry progressed the groups began to work more effectively together. This new sense of *'power with'* not only facilitated the PIP groups to achieve their goal but also enabled PIP groups to call the NGO to account on behalf of the group and other community members. ***Sub-theme 2C.3*** refers to empowerment in its most practical sense. '*Power to'* discusses the new skills and capacities that the group acquired through the process; how the group members enhanced their research and business skills, alongside their ability in English. The groups were taught business skills which assisted them in their new enterprise, but it also gave the PIP group members the skills to demand a greater role in accountability. By learning professional secrets, the PIP group members learnt the language of the more powerful accountability stakeholders and in doing so were able to engage in activities, such as proposal writing, for the first time.

PROCESS

Whilst the first two major themes are focused upon changes to implementation, much of the data also highlighted that, in order to manage the power dynamics and complexities they faced, the PIP facilitators also changed the way that they worked. As highlighted in the methodology section it was envisaged that the inquiry would result in a guide or manual for NGO practitioners that would explain the model and offer session plans for enhancing NGO accountability. However, it emerged that this intention was premised upon an oversimplified version of reality where progress was linear, groups homogenous and context could be accounted for. Theme 3, highlighted below in **Table 6**, highlights the actions that the PIP facilitators took in order to manage power and complexity. The reader should note that whilst the first two themes have been given their own chapters, a decision was made to integrate theme 3 within these chapters; issues of power and complexity are presented alongside a discussion of the facilitators' response.

PROCESS			
3A. PIP FACILITATOR'S ROLE AND EXPERIENCE	**3B. PARTICIPATION AS PROCESS**	**3C. SUPPORT**	**3D. FLEXIBLE AND ADAPTIVE IMPLEMENTATION**
3A.1 PIP FACILITATORS ACTED AS BROKERS	3B.1 PARTICIPATION AIDED MGT. AND UNDERSTANDING OF COMPLEXITY	3C.1 TRAINING UTILISED	3D.1 BLUEPRINT APPROACH WAS DROPPED
3A.2 PIP FACILITATORS EXPERIENCED DILEMMAS	3B.2 PARTICIPATION AIDED MGT. AND UNDERSTANDING OF POWER	3C.2 PLANNING AND REVIEW WAS UTILISED TO SUPPORT	3D.2 SUPPORTIVE PROCESSES WERE INTRODUCED
3A.3 PIP FACILITATORS WERE AFFECTED BY CONTEXT AND IMPLEMENTATION			

TABLE 6: THEME 3 – PROCESS

Sub-theme 3A uses the term of brokering to highlight the often uncomfortable role that facilitators adopted as intermediaries between the PIP group and other accountability actors. As highlighted in the methodology chapter, the original design did not envision a role for the PIP facilitators as knowledge or power brokers. It is important to highlight that this role was not aspired to, but the data and supporting discussion highlights it is a role which NGO practitioners often fall into. The PIP facilitators' role as a broker varied throughout the inquiry. However, the underlying values of the practice model and of Social Action proved to be supportive. Whilst overlapping to a certain degree with the themes that precede it, ***sub-theme 3A.1*** highlights incidents where the facilitators acted as knowledge or power brokers. For example, this theme includes an incident where facilitators refused to continue with a project proposal unless the young people were given a more significant role to play in its development and implementation. It also highlights where, at the request of UYDEL and the PIP group members, the facilitators engaged with local leaders on behalf of the PIP group members. ***Sub-theme 3A.2*** is focused upon the data which highlighted the facilitators' frequent dilemmas in deciding what to do, when to let the young people lead or when to intervene for safeguarding purposes; when different actors had different beliefs on how to proceed and when the facilitators felt forced to act in ways not succinct with their social work values or the key aspects of PIP. Throughout the inquiry, it was repeatedly highlighted that the human dimension of accountability was important. Whilst the personal relationships and vulnerability of accountability are discussed in relation to complexity and power, it is important that the human dimension of practitioners is also brought to light. ***Sub-theme 3A.3*** highlights how change was sometimes stimulated by the PIP facilitators' experience of complexity and power. For example, the complexity of the context had a secondary impact upon implementation, which stimulated further change. It was noted that the PIP facilitators were affected by environmental hazards, political instability, poor infrastructure and communications. Before moving on to discuss other sub-themes of process, the reader should note that when the analysis was undertaken in NVivo, much of the data that appeared in reference to brokering also appeared in relation to power.

PIP the practice model was designed to utilise participation as a means of enhancing accountability. Whilst it is noted that the participatory process is complex and that it resulted in further complexity, it is also recognised that participation was an aid to managing the challenges of power and complexity. ***Sub-theme 3B.1*** groups together incidents that denote where participation created change that facilitated implementation to proceed. For example, how the young people supported facilitators to understand the complexity of their local communities; where the young people acted as translators; where the young people warned of high-risk and unsafe areas; where the young people negotiated access to slum areas to allow activities to proceed. The process of participation

not only had a positive practical effect but it changed the relationships between actors. Particularly in the impact evaluation, the PIP group members, facilitators, local leaders, UYDEL managers and donors all highlighted how the participatory process had changed their perception of actors and how they felt that they could now communicate far more freely with different individuals. ***Sub-theme 3B.2*** draws together incidents where participation appears to have changed power relationships. The change evident in the PIP group members seemed to co-evolve with change evident in other accountability actors. For example, the young people involved started to use the relationships they had acquired through PIP to advocate for young people in their local community.

Subtheme 3C highlights how the model was significantly changed by introducing new elements of practitioner support that were not present in the original design. ***Sub-theme 3C.1*** indicates the numerous training that were introduced, from NGO accountability to human rights. Training took several forms; some were 30min pieces of training that were integrated into planning and review sessions and others were two-day events. In addition, to training, the PIP facilitators began to see the planning and review meetings, as an important tool for practice. ***Sub-theme 3C.2*** shows how reflective practice changed to become an integral element of practice, and how it was used as a form of peer-to-peer support, especially at times of trauma and instability. ***Sub-theme 3D.1*** highlights, with the issues that were encountered one of the main coping mechanisms adopted by facilitators was flexibility and adaptivity. In contrast to the original design of PIP the practice model was more rigid, the facilitators coped with power and complexity by adopting a much greater degree of fluidity in implementation. For example, where it was unsafe to proceed activities were halted; where complexity was not understood more time was taken; where mistrust was evident, time was afforded for relationship building and when tragic events occurred people were allowed the time to grieve. Whilst the blueprint approach was dropped, there was a feeling that it needed to be replaced with something else. ***Sub-theme 3D.2*** highlights several incidents where attention was drawn to best process, as opposed to best practice. One instance of this can be seen in the development of a flow chart to support facilitators in overcoming accountability challenges.

DATA INTERPRETATION

Mills distinguishes between analysis and interpretation. He states that 'data analysis tries to report the outcome of the findings of the data collected, and data interpretation focuses on the implication or meaning of those findings' (Mills, 2003:104). As discussed, pragmatists utilise inquiry to explore theory and its relevance for action. As highlighted by Mills 'theory allows the researcher to search for increasing levels of abstraction, to move beyond a purely descriptive account' (Mills cited in Mills, 2003:115). To explore the data that emerged, I initially drew upon the theoretical constructs that informed the development of PIP the practice model; namely, critical theory, systems theory, systemic theory, Deweyan pragmatism and theories relating to participation. As my analysis evolved I realised that within these broad theoretical traditions I had to become more detailed in my understanding and interpretation. As will be discussed, whilst I initially drew from systems and systemic theory, I felt that the related theoretical fields of complexity and chaos theory were, in fact, more relevant to the data which emerged. In relation to power, I developed my basic initial framework to encompass a more nuanced approach. In order to understand dimensions of power that appeared to emerge, I chose to utilise theoretical constructs drawn from the field of international and gender studies. In accordance with the tradition of pragmatism, I do not discuss possible theoretical frameworks of interest in a manner which is intended to suggest that I have uncovered grand theories and ultimate truths; it is acknowledged that other theories of power may also offer relevant insights into the data which emerged. Rather, I propose theories that appear relevant to the data as a possible point of consideration which may inform further action. Within the discussion of each theme I attempt to present why I believe that these theoretical frameworks are of interest, and the conditions that led to my warranted beliefs. From a pragmatic perspective the findings and discussion are viewed as a description of the conditions from which I developed my warranted assertion. Knowledge was generated through the process of action and reflection; the data could not have been produced without this process, but the method of analysis assists me to further reflect on the process and to articulate how I arrived at my warranted assertions, in a manner that is clear and transparent. Whilst the themes of complexity, power and process emerged through a thematic analysis of points of change, the reader is reminded that 'impact' was also utilised as an orientating concept in order to facilitate an evaluation of the inquiry's outcome validity. Utilising the typological framework of *accountability by proxy*, upward accountability, horizontal accountability, *internal accountability* and downward accountability, I also explored the data for potential impact. Whilst I drew from data generated throughout this inquiry, I primarily drew from the data generated by the impact assessment visit.

CHAPTER 4:
FINDINGS & DISCUSSION
THE COMPLEXITY OF ACCOUNTABILITY

FIGURE 10: PIP GROUP MEMBERS FACILITATING THE YOUTH-LED ACTION RESEARCH, 2012

CONTEXT COMPLEXITY

This chapter focuses on the complexity which forced change to occur. The chapter begins by looking at the complexity of the context in which the study took place; how small differences in and between sites mattered and how change was often rapid and unpredictable. Attention is also drawn to the complexity of the lives of those who were involved. It is noted that when working in complex environments, facilitators may need to respond to the challenges that participants encounter and to be aware of how implementation might affect them personally. The chapter subsequently progresses to discussing the complexity of participation; how implementation needed to be sensitive to the context and how the process of participation led the activities and sessions in new and unpredictable directions. The chapter concludes by reflecting upon the methodology, specifically how the facilitators and the methods utilised responded to the emergent complexity.

THE COMPLEXITY OF WORK IN SLUM AREAS

This inquiry took place within parishes of Makindye and Kawempe divisions of Kampala which were described as *slums,* by many of the actors that took part in the inquiry[38]. The data highlighted that the context, whilst anticipated to be challenging, was more complex than anticipated. In order to implement activities safely and, to be culturally sensitive, the PIP facilitators had to be extremely sensitive to their environment. Very little data exists on population, but a rough approximation suggests at the time of the inquiry approximately 3 million individuals were living in slum areas in Kampala[39]. Whilst Uganda's urban population is currently regarded as low, it is rapidly increasing: 'the rate of urbanization in Uganda, 4.8 percent, which is among the highest in the world' ((Cities Alliance cited in Browne, 2013:3). As highlighted by the World Bank (2012), this rapid urban growth has led to high rates of spatial expansion (sprawl) and unplanned growth. Rapid growth and a lack of 'spatial planning, inadequate provision of basic services, weak urban management capacity and significant fiscal constraints' (The World Bank, 2012:17), has not corresponded with a development in basic physical infrastructure. Consequently, this has led to the emergence of slum areas; the

[38] According to the United Nations a 'slum' is defined as an area that combines the following characteristics: 'inadequate access to safe water; inadequate access to sanitation and other infrastructure; poor structural quality of housing; overcrowding and insecure residential status' (UN-Habitat, 2003:12). I refer to the sites of inquiry as slum areas due to the United Nations definition and the fact that this is how they were generally referred to; the term is not intended to infer any negative meaning.

[39] This approximation is based on a UN-HABITAT data that stated that in 2012, 14.5%, or 5 million individuals, lived within urban areas of Uganda. In 2006 the same organisation estimated that over 60% of Kampala's population lived in slum areas (UN HABITAT, 2006:10). Based upon an assumption that the population in 2012 and slum dwelling ratio given in 2006 is somewhat comparable, the total slum dwelling population in Kampala was estimated at 3 million individuals.

'overcrowding, traffic congestion, growth of slums and informal settlements, dilapidated housing, and poor sanitation' (UN-HABITAT, 2012:40).

One of the initial challenges of implementation related to the need to find a suitable location to work. In both locations, the facilitators and young people were concerned by the availability of appropriate space. 'I am not happy with the location I use' (MR-S: Apr, 2012). The main problem in Makindye was in relation to the size of room available for group work. In Kawempe safety was a major concern; '[… it is] the best possible in the local area, nowhere in the slum is particularly safe' (MR-S: Apr, 2012). Initially, the only space facilitators could locate in Makindye proved so small that space could not accommodate chairs for all participants. Whilst crime was viewed as a concern in both areas, this issue particularly inhibited work in Makindye. This issue affected movement to, and within, certain areas of the slums. It was generally deemed by facilitators as too dangerous to leave computers at the outreach centres. Throughout the course of this inquiry, I sometimes brought a personal laptop to sessions; however this was not frequent as I felt that carrying expensive equipment on a regular basis increased the personal risk I was subject to.

The sessions in Kawempe took place in an abandoned school which had been left unoccupied due to the excessive flooding in the area. To reach the room site, it was necessary to pass through a flooded staircase over planks of wood. In Kawempe, a combination of natural drainage and sewer systems resulted in parts of Kawempe being 'regularly flooded by polluted water' (Vermeiren *et al.*, 2012:201). Flooding in this area was viewed as extremely hazardous. The Kawempe area had numerous open sewerage canals and drains, a foot or more in diameter; when submerged these were difficult to visually identify. UYDEL warned against trying to hold sessions, or to travel in Kawempe when it was raining. Furthermore, PIP group members highlighted their concern on numerous occasions regarding the possibility of falling into open drains or being trapped by the collapse of poorly built dwellings during a flood. Due to the risks involved, in regards to travelling at times of flooding, standard procedures were agreed; the UYDEL, the PIP facilitators and young people agreed that group sessions would be immediately halted if it began to rain and that when raining no individual should attempt to travel. The data highlighted that on frequent occasions PIP facilitators felt compelled to delay or halt sessions due to safety concerns 'once it starts raining you do not have long to move before the centre floods. […] we will have to stop mid-session so the girls can make it safely home' (MR-S: Apr, 2012). In Kawempe, the most frequent reason for delaying, halting or changing sessions related to the rain and potential for flooding.

Whilst the sites of inquiry focused upon two highly disadvantaged slum areas, the data produced highlighted that the facilitators and staff at UYDEL perceived the Kawempe area as being much

harder to work in; it was harder to access, viewed as more unsafe and posed significantly more logistical challenges. However, as noted in the methodology Kawempe was selected as it was known to be the most deprived area of Kampala; it demonstrated the greatest need and higher levels of poverty and disadvantage. The PIP facilitators questioned their choice of inquiry site and whether the inquiry should have been moved to a site which was easier to work in. In light of the challenges encountered the PIP facilitators considered hiring a room outside of Kawempe and paying for the group members' transportation to a safer location for group sessions. However, this possibility was disregarded as the facilitators were concerned that PIP group members might be less willing to engage.

Whilst the inquiry continued in Kawempe, it was highlighted how the complexity of environment might affect an NGO's decision in regards to where to implement. Furthermore, unless donors were exceptionally sensitive to the context they might not be critically aware of whether NGOs were engaging the vulnerable or the most vulnerable; on paper, the differences between the two sites might appear quite minor, or non-evident. It was noted that despite both sites of inquiry pertaining to the slums of Kampala, just a few miles apart; the flooding which frequently affected Kawempe was not a major issue in Makindye. There were various other differences between the two sites. The PIP facilitators highlighted a belief that Makindye was slightly more affluent than Kawempe and that Makindye had a younger and more transient community. Kawempe's community appeared to consist of relatively static, insular and established micro-communities. The poverty in Kawempe had led to a higher presence of NGOs; according to the OVC[40] service providers' mapping, 'out of the 189 Service providers mapped in Kampala, the majority are working in Kawempe Division (24%)' (GoU, 2008b:10). The participatory approach facilitated the unique issues and challenges to emerge through the close relationship the group members had with their communities. As a result of the unique nature of each location, the PIP group members arrived at different issues they wanted to explore. As will be discussed in the next chapter Kawempe, being the poorer of two areas, chose to explore poverty and unemployment; whilst Makindye, being more greatly affected by crime, chose to explore crime and insecurity.

Whilst there were evident differences between sites, there were also highly localised differences within each location. As noted by the Red Cross, 'urban communities are complex and variable, with different levels of vulnerability across cities' (The British Red Cross 2010:20). However, the PIP group members were able to negotiate this complexity and to highlight different communities and

[40] OVC is an acronym commonly used in Uganda by government departments and NGOs It stands for Orphans and Vulnerable Children

different risks within a very small geographic area; on numerous occasions, there were indications of micro-communities within each slum area. In was noted that some areas were viewed as safe and some unsafe; some areas flooded, others did not; some areas welcomed research and other areas were hostile towards it. For example, when conducting the youth-led research in Kawempe the young people noted differences in how receptive micro-communities were to research. In Kawempe the young people noted that communities near the main transport hubs had become hostile to researchers as they had been over-researched; they noted that 'people wanted money for surveys. In this area, they are over researched by Muzungus' (SE-PF: Aug, 2012), whereas communities just a short distance away were welcoming as research was a novelty for these communities, due to the fact that they were less accessible. Language, cultures and governance systems varied greatly within small geographic areas. As noted by the PIP group members, 'we had a problem with differences. Different cultures, we come from different tribes and different areas' (FE-GM: June, 2013). As noted by one author 'compared to rural villages, urban communities are heterogeneous, complex and engage in sophisticated methods of interaction' (EMI cited in Kyazze *et al.*, 2012:34). Slum communities can be highly mobile, drawing in new arrivals. In 2012, Uganda also experienced a large influx of refugees from the Democratic Republic of the Congo in response to increased incidents of civil conflict close to the Ugandan border. Rather than remaining within refugee camps, a large number of individuals became urban refugees settling, at least temporarily, within the slum areas of Kampala. Whilst migration from neighbouring countries accounts for some degree of diversity, the diversity within Uganda's own borders should not be underestimated. Uganda is one of the most culturally diverse countries in the world. In the 2000 census, 73 ethnic groups were enumerated (Habyarimana *et al.*, 2007).

UNPREDICTABLE OUTCOMES

The initial design of PIP tried to be culturally sensitive by ensuring facilitators were employed from the PIP group members' community and that they spoke local languages. However, this approach was flawed; the diversity of languages and cultures was underestimated. There was an evident false assumption on homogeneity; as individuals migrated into the slum areas from different countries and regions of Uganda, multiple first languages were spoken. The issue of language highlights just one of several incidences where the consequence of complexity was difficult to predict. At the outset, it appeared rational to assume that a diversity of languages spoken might result in the need to work and translate into a diversity of languages. However, the extreme diversity of languages spoken meant that Luganda and written English were used as a coping mechanism. Whilst it almost seems counter-intuitive, more complexity than expected in regards to

languages spoken actually led to implementation being simpler than expected, as English and Luganda were used by most as a *de facto* language on a day-to-day basis. In regards to language, two other mistakes were noted. First, it was wrongly assumed that, if individuals could read or write, that they would do so in their own native language. It was noted by the PIP facilitators that 'whilst people might speak Luganda they felt that most people couldn't (or found it difficult to) read and write' (PRM-PF: Sep, 2012). As Uganda is an ex-British colony, and because there are so many native languages, English is predominantly taught in schools. Thus, if schooled at all, people learnt to read and write English rather than their native language. Second, that an individual would want sessions to be facilitated in their own native language. Many of the PIP group members highlighted that they wanted sessions to be held predominantly in English, not their own language, as they saw the sessions as an important opportunity to learn. 'The girls said that [… they] preferred reading in English' (PRM-PF: Sep, 2012). The issues with language highlight the importance of not assuming outcomes. As an outsider to the community, it would have been difficult to predict the outcome of these events. It was the participatory process and engagement with the PIP group members that enabled the complexity of the community and the most appropriate means of facilitation to be understood.

COMPLEX GOVERNANCE

As Kampala's slum areas experience migration from within the wide range of different tribal groups from within the country it is important to note how the different tribal groups and their varying languages, customs and norms continue to shape and influence the country. Within the country, 'Baganda, Basoga, Batoro, Banyoro, Itesoit, etc. are headed by traditional kings or chiefs who are not politically elected but have an indirect role in community governance and moral build up' (UBOS, 2006:3). Thus, in slum areas, it is noted that many individuals pay respect to its traditional leaders and governance systems. As discussed previously, in addition to tribal leaders Kampala also is governed through a complex system of elected and administrative leaders. This already complex system of governance was further complicated at the time of this inquiry as Kampala was in the process of transition from being a district to a City Council Authority (KCCA). The KCCA was established in 2010 under the Act of the same name, but restructuring was slow and some reminiscence of the district structure remained. In this period of transition, it was noted that 'generally there seems to be a great deal of confusion about the reshuffle of Kampala from a district to a City Council Authority (KCCA)' (MR-S: 2012). There was no explanatory document detailing the new structure, roles and responsibilities or any document to replace the district development plan of Kampala, which was viewed as a primary tool for NGO accountability. It was

noted that the restructuring appeared to manifest differently between Makindye and Kampala divisions. For example, it was noted that in Makindye the LC3 councillor was also division mayor, yet in Kawempe the role of mayor and local councillor were occupied by two different individuals.

As discussed within the methodology, the Resident District Commissioner (RDC), as a representative of the Office of the President, played an important role in the formalised ethical procedures. I was initially confused by how to find the district commissioner, in a city with no districts; however, after some challenges, such as limited availability and no telephone or email access, I managed to meet the relevant RDC's for both sites. The process took several months. Whilst both RDCs gave consent to proceed, this success was short-lived, as in late 2012 President Museveni decided to change many of the country's RDCs. In one diary entry, I remarked, The President 'has decided to replace all the countries Resident District Commissioners. I have only just managed to gain consent from them!' (MR-S: Oct, 2012). As a result of the President's changes, I had to start the process of attaining consent from the RDCs again. The complexity of the local formal and informal governance systems was exceptionally difficult to understand. The understanding that I acquired in order to proceed was not available in any text, rather I depended upon discussions and community knowledge to know how to proceed; participation and collaboration were essential to navigating the complexity.

GATEKEEPERS

Whilst it was important to attain consent from the traditional, elected and administrative leaders, these individuals were not the only gatekeepers to the community. As Minichiello *et al.* highlight 'gatekeepers are defined as those individuals in an organisation that have the power to withhold access to people or institutions for the purposes of research' (Scheyvens and Storey, 2003:153). Again, as an outsider the slums were exceptionally difficult to understand. It was noted that in some areas of the slums it was integral, to ensure the local police commissioner was aware of our presence; there were, however, other areas of the slum where the police had no presence. It was noted that prior to my engagement both areas had experienced negative impacts from ill-prepared researchers. For example, in Makindye, one of the PIP facilitators stated that 'Previous research on gangs in the area has been known to have caused trouble for researchers and participants' (SS-S: 2012). Whilst we worked with local leaders, police officials and UYDEL as gatekeepers, it was noted that the PIP group members involved were the most important gatekeepers involved; it was their community. The PIP group members were able to negotiate access and to inform us of highly localised areas of risk, where it would have been unsafe to work. Kampala's slum communities are

effectively closed communities, it was only through the PIP group member's knowledge and relationships that the inquiry was able to proceed.

UNEXPECTED EVENTS

At times, it was not the scale of complexity but the severity and unexpected nature of events which caused change. One of the occasions where rapid change took place was in 2012 when economic instability and rise in inflation highlighted above led to civil discontent and to the formation of the group Activists for Change (A4C) in Uganda. Throughout the period of inquiry, A4C held various campaigns within central Kampala; some evolved into riots. On one occasion the facilitators were caught up in one of these demonstrations and tear gassed whilst undertaking a planning and review meeting. Subsequent sections will discuss how these events changed relationships and power dynamics of implementation, but it is important to note the unpredictable events also inhibited implementation. Communication was also disrupted as rioting often took place in central locations where internet cafés were located. In April 2012, I noted that 'Rioting is continuing in Kampala. Getting to sessions accessing the internet can be difficult when there are certain areas of the city that I need to avoid' (MR-S: Apr, 2012). Due to the rioting in central locations the movements of facilitators were limited, some activities were halted and risk increased as facilitators chose to utilise boda-bodas in order to circumnavigate tension points in the city. The civil disturbances refer to just one of several unexpected events that may be described as tipping points or chaotic events; other examples, such as the death of a participant and the two Ebola outbreaks, will be discussed in the subsequent chapter. Haynes highlights that chaos is not always negative 'if it is used to create a new order that will ultimately save an organisational or professional practice and allow for new solutions' (Haynes, 2003:32). Throughout this inquiry, it is noted that unexpected / chaotic events were usually accompanied by rapid changes in implementation.

THE COMPLEXITY OF BEING HUMAN: VULNERABLE LIVES

The original design of PIP the practice model was intended to address inequality within NGO accountability by empowering individuals whose voices are often marginalised. However, as a result, of this decision the data highlighted that it was important to understand the complex and challenging lives individuals have, and how engaging with individuals who are subject to multiple oppressions may result in changes to the implementation.

COMPLEXITY OF POVERTY AND OPPRESSION

Within the methodology chapter, it was highlighted that there was an explicit choice not to investigate the group members' personal lives. In order to foster a sense of equality, it was viewed as important that the PIP group members did not feel as though they were merely research subjects. However, whilst this information was not sought, the data did highlight several incidents where group members chose to disclose the personal difficulty they were facing. For purposes pertaining to confidentiality, I will not discuss the emergent issues, but I do wish to highlight some of the PIP facilitators' general responses. As part of the established practice ethics, described within the methodology chapter, the PIP facilitators were linked to UYDEL's support systems and had agreed safeguarding mechanisms in place. On several occasions these systems were utilised; as a result, some PIP group members engaged with UYDEL's social work practitioners. In this respect, the original design of the practice model did not change and the collaboratively developed systems proved effective. Over the course of implementation, the PIP groups experienced the loss of three group members. Whilst one individual dropped out for positive reasons, it was noted that there was also one fatality and one individual who felt compelled to dropout due to personal problems. The emotional impact that particularly the death of a participant had upon the PIP facilitators is discussed at the end of this chapter; but it is argued that when working in challenging environments, and with vulnerable individuals, participants are subject to greater risks and challenges which may adversely affect implementation of participatory work, such as the PIP sessions.

GENDER ISSUES

The individuals that engaged within the inquiry did not represent one homogenous group but as young, slum dwelling, female individuals it is important to note the complexity of the multiple oppressions they encountered. As highlighted by Mullender and Ward, 'various forms of oppression are entwined and must be understood and confronted together' (Mullender and Ward, 1991b:4). The young people involved in this inquiry were young women aged 15-24, living in slum areas of

Kampala. Whilst it is important to avoid a hierarchy of need, as this can serve as a distraction from focusing on the social injustice experienced, it is also important to highlight how the lived experience of the young people involved is affected by their entwined multiple identities. Uganda is regarded as a country with a high level of inequality. It was reported to have a Gender Inequality Index (GII)[41] value of 0.529, ranking it 115 out of 149 countries (UNDP, 2013). It is argued that women in Uganda experience 'gendered roles and inequity which renders them vulnerable to physical, emotional and sexual exploitation' (Kasirye, 2012). In Uganda UNFPA stated in 2012 that 'nearly 60 percent of women have experienced some form of physical violence' (2012:39). In the same year, UN-HABITAT stated that '39 percent have experienced sexual violence and 16 percent have experienced violence during pregnancy' (UN-HABITAT, 2012:44). Because female youth in Uganda is 'disproportionately affected in land rights, employment and compensation' (International Youth Foundation, 2011:4), it is arguable that they are more likely to find themselves resident in insecure slum locations. Women who live in slum areas often live independently, without community or family support; Bartlett states that 'more than one-third of urban girls aged between 10 and 14 in 10 sample countries in sub-Saharan Africa live without either parent' (Bartlett, 2010:6).

Independent living arguably increases the risks that young people are associated to; for example, in regards to Sexual Reproductive Health (SRH), it is argued that weakened social networks, 'heightens exposure to social and cultural factors that encourage risky behaviour' (Greif *et al.*, 2011:949). It is noted that the majority of young female slum dwellers tend to bear children at an earlier age than their counterparts: in Uganda, 'six out 10 young women living in slums have a child or are married, twice as many as in non-slum communities […] 34 per cent of young Ugandans in slum areas head a household, compared with 5 percent of those in non-slum areas' (UN-HABITAT, 2011:95). However, it is noted that in Uganda there are vying definitions of children[42]. The National Child Participation Guide for Uganda (2008) highlights that social definition may vary with legal definitions. For example, when a child takes on 'adult' responsibilities – such as marriage, work, becoming the head of a household or parent they may be regarded as an adult within some tribal groups, regardless of age. As a result of becoming mothers, vulnerable young women might not be regarded as youth: subsequently it has been known for young mothers to lose access to support as they are no longer regarded as children. As noted by Mabala 'many young women, formally in the category of youth,

[41] The Gender Inequality Index (GII) reflects gender based inequalities in three dimensions; reproductive health, empowerment, and economic activity.

[42] In the 1995 constitution of Uganda a child is defined as being a person under the age of 18; the National Youth Policy for Uganda (2001) 'defines youth as all young people; female and male aged 12 to 30 years' (UNFPA, 2012:30).

tend to lose access to the programmes and opportunities made available to *youth* once they have children' (Mabala cited in Bartlett, 2010:308).

Within this inquiry I choose to utilise the terminology of my NGO partner UYDEL; they adopt the United Nations definition which defines the youth as persons between 15-24 years (The Government of Uganda, 2001). Many of the young people involved were already mothers or became pregnant within the implementation period, but UYDEL and I tried to make changes to implementation to ensure that this did not affect their right or ability to engage. Sommers asserts that when working with Urban youth one must 'make programmes flexible enough to accommodate the time and childcare requirements of youth' (Sommers, 2010:329). However, the complexity of the environment also led to concerns about whether it was safe for the group members to bring their children to sessions. I wrote, I'm 'Not sure [Kawempe] session location is 100% safe (especially for babies brought to sessions) but nowhere in [Kawempe] seems safe enough' (SP-S: Apr, 2012).

YOUTH ISSUES

As highlighted previously, all of the individuals engaged in the inquiry were aged 15-24 years. As will be discussed in regards to power, the young people's age led to challenges in regards to the PIP group members' perceived capacity to engage. However, it is also important to note the events that were happening at the time, and how the individual's age might have related to their vulnerability. In 2012, it emerged that Uganda had the youngest average population of any country in the world. The country was experiencing what is known as a demographic 'youth bulge'. A total of 78% of Ugandans are below the age of 30 years and 52% below 15 years (UNFPA, 2012). In regards to adolescents, UNICEF estimated that 24.5% of the population are aged 10-19 years (UNICEF, 2013). Whilst Uganda was the youngest country in the world, Kampala was noted for having an even lower average age, and Makindye was reported to have the lowest average age of any division of Kampala. Migration into Kampala skewed the age bias as migrant youth were often forced into 'slum' areas of the city. Uganda's youth bulge presented the country and its citizens with various challenges; the World Bank states that 'the most important demographic issue for Uganda is related to the age structure rather than the overall size of its population' (World Bank, 2011:1). 'The proportion of the Young population is increasing at a higher rate than the growth in employment opportunities' (UBOS, 2006: xiii); as such, 'Youth unemployment in Uganda is the highest in Sub-Saharan Africa' (UNFPA, 2012:34).

STANDPOINT OF SCALES

The sessions involved PIP group members that had and were confronting exceptional challenges in their lives. In Kawempe, the sessions changed from the afternoon to the morning as the young people wished to use their allowance to buy food. One PIP group member noted that one of the advantages of the PIP sessions was that she got to eat lunch on that day, a meal that is often first to be skipped. In the poverty ranking activity, an income disparity of just 48p per day was enough to demark different social classes. Very minor differences in income or financial support appeared to have a significant impact on whether individuals could engage. For any additional activity beyond the PIP group, the PIP group members needed financial support in order to travel beyond the normal location. On several occasions the facilitators had to supply additional unexpected transport costs for the young people to be able to undertake their work. Whilst all the PIP group members might have been described as living in poverty, the PIP facilitators noted their belief in disparities in income between individuals and groups; again poverty emerged as an issue in Kawempe. The inquiry highlighted how financial resources, which may have been overlooked by the facilitators, were significant to the group members; small things matter. As the inquiry progressed it is evident that the PIP facilitators learnt to consult more widely, even regarding issues which they might not have originally viewed as significant. For example, the small session allowance, that would have been used to purchase refreshments if left to facilitators, was enough for participants to eat lunch once a week and to contribute towards starting a business. The poverty ranking exercise highlighted how a difference of just 500UGX (approx. £0.12) per day was enough to separate social classes in their view. Earnings of over £11.64 per day was what the PIP group members perceived as the highest class of wealth, there was no class demarcation higher than this for the group members. The importance of standpoint theory is again highlighted; the data suggests that the PIP group members not only experienced a different reality but that reality potentially led to different *standpoints-of-scale*.

THE COMPLEXITY OF BEING HUMAN: WORKING IN COMPLEX ENVIRONMENTS

As highlighted in the literature review, there were very few written from the perspective of the practitioners who have to manage NGO accountability. Whilst some accounts have now begun to explore NGO organisational culture, this inquiry was able to highlight a more in-depth picture of what it was like to work as a PIP facilitator. Whilst the insights are unique to context, the findings serve to emphasise that NGO practitioners are more than just cogs in an accountability machine. The data highlights that practitioners are personally affected by the context that they work in and by the relationships that they develop. This personal impact may, in turn, impact upon the work delivered.

CONTEXT RISKS

The data repeatedly highlighted that the PIP facilitators were affected by the context in which they worked. Whilst sometimes highlighted within planning and review meeting notes, this factor is most evident within my personal accounts of events. As anticipated within the risk assessment, transportation proved to be the main risk I was exposed to. Due to financial constraints, and a desire for the practice model to be replicable, I utilised predominantly local transport, but this had associated risks. During the inquiry, all three of the PIP facilitators were involved in road traffic accidents. Kampala is a city troubled by traffic management and congestion and is regarded as having one of the world's highest incidents of road traffic accidents and fatalities in the world (Kigera *et al.*, 2010). In the year that the inquiry took place, over 2,600 hundred individuals were killed in road traffic accidents in Kampala (GOU, 2013). Although it was agreed prior to departure that this form of transport was to be avoided, all the accidents occurred whilst utilising the motorbike taxis known as boda-bodas; as noted *by Kigera et al.* 'Boda-bodas are also the leading cause of accident scene fatalities in Kampala' (2010:57). The original design did not recognise the challenge of travelling across Kampala; due to this lack of information, the challenge of implementing within two sites that are on opposite sides of the city was not known. As it could take several hours to cross the city by car, the facilitators felt compelled to sometimes use boda-bodas, although they were aware of the risk. A desire to use laptops in sessions discouraged the PIP facilitators from travelling to the bus park with valuables, as it was known for being a hotspot for crime. In my diary, I noted that I chose to use boda-bodas as I wanted to avoid the bus park. I wrote, 'I don't feel safe carrying this around Kampala all the time, especially not when travelling via the bus park' (DE-S: Apr, 2012). On several occasions, the only way to reach group sessions was by boda-bodas which could navigate around central rioting. Again the bus park was viewed as a hotspot for trouble; 'Turns out I narrowly missed a major riot yesterday. I was in the bus park at 1

pm. At around 11 am the police were letting off live ammunition and tear gas' (DE-S: Oct, 2012). In addition to accidents, it was also noted that over the course of this inquiry several individuals known to me were attacked and/or robbed when using boda-boda's at night; after a friend was sexually assaulted by a boda-boda driver, I stopped using them altogether. In regards to the PIP facilitators' accidents, it is noted how the chain of events which emerged was *path-dependent* but still unpredictable; a lack of political accountability and accusations of fraud led to donors withdrawing aid in Uganda. This led to civil disturbance - which led to the facilitators taking boda-bodas to avoid central rioting - which led to the facilitator having an accident - which led to a group session being cancelled. Each event is related, but it is unlikely that anyone could have predicted that accusations of fraud would lead to a motorbike accident. A local transport alternative to the boda-bodas is a local minibus called a matatu; however, use of this transportation also has its own risks. The vehicles themselves tend to be very poorly maintained, cramped and have roll bars across the windows that would prevent escape in an accident. As mentioned previously, the central bus park, where many matatus leave from, and the matatus themselves tend to be a target for petty criminals. Over the period of inquiry, I was pickpocketed twice. The data highlights the complexity which emerged from something as simple as the facilitators' commute to work. The PIP facilitators knowingly risked their personal safety in order to arrive at sessions. This would be less of a complex issue in somewhere such as the UK; yet when you work in an environment where a commute to work may mean running into tear gas, being robbed or becoming one of many road traffic victims, things become more complex. The only way to ensure safety, and *internal accountability* to staff, would have been to have an enhanced allowance for travel costs; this, in turn, would have increased overheads in a sector where staff overheads are generally seen as an irresponsible use of resources.

Although transportation emerged as the most significant risk, I was also exposed to crime in other locations. During the inquiry, I experienced three attempted break-ins at my house, on one attempt the person was armed 'Woke up the other night to gun shots as my guard was scaring off intruders from attempted break-in number four' (MR-S: Aug, 2012). Whilst my exposure to crime may have been influenced by my outsider status, it is important to note that my exposure was not excessive when compared to the risk that the PIP group members faced. There is no evidence in Kampala that those who are more affluent are exposed to more significant risk. As noted by UN-HABITAT, 'most of the urban areas and urban enclaves, particularly where slums are located, lack urban safety mechanisms to protect people from physical harm' (UN-HABITAT, 2012:36). Swahn *et al.* (2012) highlight, how youth living in the slums of Kampala, particularly girls, report both weapon-involved violence perpetration and victimization. Recent studies have shown that 'slum dwellers are, in fact,

more vulnerable to violence and crime (UN Human settlement programme, 2003: xxviii). Slum dwellers can often not afford to secure their properties, police presence and trust also tends to be low in these areas, which places residents at higher risk of crime (Demombynesa and Özlerb, 2005). The contextual risks led to UYDEL and the PIP facilitators agreeing that no staff member should work in the area at night where the PIP group members were resident. The localised risks changed implementation; for example, UYDEL viewed the area as too unsafe to keep a computer in the office and work was often cut short as the PIP facilitators always had to leave site before it became dark, regardless of work outstanding.

Whilst the risk of crime encountered by PIP facilitators was not unique to them, it is noted that the risk of illness caused by environmental hazards in Kawempe was not unique to the PIP group members. It was noted that the PIP facilitators felt that their health was adversely affected by the environment they worked in. '[the local facilitator] felt sick and could not walk much, this meant that supervising the groups was hard' (SE-PF: Jul, 2012). The stagnated pools of polluted water, combined with uncollected refuse, posed various ongoing health risks. In 2006 the KCCA acknowledged that an inability to collect waste in slum areas has led to 'offensive odour, continuous environment pollution and repeated occurrence of sanitation-related diseases like cholera and dysentery' (UN-HABITAT, 2006:1). The stagnated pools of water, in which mosquitoes breed, and regular intake of individuals from different regions, meant that unlike other areas of Kampala it was possible to contract malaria. During the inquiry, I contracted malaria twice and had several bouts of amoebic dysentery. Perhaps due to my lack of previous exposure, I appeared more prone to illness than the other facilitators; throughout the inquiry, I was sick at least once a month.

STRESS AND EMOTIONAL IMPACT OF CONTEXT

Whilst it is evident that the contextual issues and their physical consequences affected implementation, it is also important to note that these factors also appeared to have an impact upon the facilitators' emotional well-being. In a study which took place in the same year as this inquiry, Ager *et al.* (2011) noted that in northern Uganda over 50% of workers experienced 5 or more categories of traumatic events. Furthermore, 68%, 53%, and 26% of respondents reported symptom levels associated with high risk for depression, anxiety disorders, and post-traumatic stress disorder (PTSD), respectively. Whilst this inquiry was undertaken in a different region of Uganda, there is some indication that the events which were encountered had a detrimental impact on the well-being of those involved 'This week has been very emotionally hard. I can't focus on the study as my mind is pre-occupied' (SE-PF: Aug, 2012). The most significant event occurred in Aug 2012 when one of the PIP group members tragically died. For the facilitators and group members, it was an

extremely challenging event. At the time, ethical questions were raised to whether it was appropriate for the group to proceed. In the days subsequent to the event the PIP facilitators utilised the planning and review sessions to support each other and to decide the most appropriate course of action. A decision was made to suspend work and to hold memorial activities for the young person who had passed away. Activities were arranged for the PIP group members that would help commemorate and celebrate the young person. Despite initial concerns, it became evident that this event appeared to strengthen the relationship between the remaining group members; they supported each other and resolved to continue. Particularly in regards to myself, I appreciated having the local facilitators' advice to guide me through local traditions and customs. The event highlighted the importance of flexibility; it would have been completely inappropriate to have pushed on with activities regardless. Individuals needed time to grieve.

Whilst there were effective formal safeguarding procedures to respond to emergent issues, the PIP facilitators highlighted how they still found these incidences emotionally challenging. As evident in the staff induction highlighted in **Appendix H4,** the PIP facilitators received training in professional conduct and professional boundaries. However, the guidelines did not account for the PIP facilitators' growing attachment to the PIP group members; it is evident that they began to care deeply about the young people. Often there was a discussion in planning and review meetings over whether it is best to 'do the thing right' or to 'do the right thing'. Whilst there were clear guidelines prohibiting intervention, there were a couple of incidents were the facilitators felt compelled to intervene by supporting the young people with small financial contributions from their own pocket. Again, the planning and review meetings were utilised as a forum for discussion and peer support. Regardless, the PIP facilitators frequently noted feelings of guilt regarding their inability to support the young people more directly. 'I am becoming increasingly attached to the girls and I am finding it increasingly hard to detach and to not feel responsible' (MR-S: Oct, 2012). During the evaluation visit, it was noted that both local facilitators continued to work for free in order to continue supporting the PIP group members. Whilst I returned to the UK, I found emotional challenges with guilt and settling back in.

THE COMPLEXITY OF PARTICIPATION

As discussed in the methodology, the original design of PIP the practice model aspired to achieve authentic participation as this was viewed as a means of enhancing *downward accountability* and of equalising the evident power imbalances between different accountability actors. As highlighted by Mulwa, participation is a concept that has been popularised in community development since the 1970s (Mulwa, 2008). Participatory approaches have been widely adopted by NGOs, but this study specifically raises questions in regards to NGO accountability. It is asserted that if participation is to be utilised as a mechanism for accountability, then the complexity of implementing participatory approaches in challenging contexts, with marginalised individuals, needs further consideration. Furthermore, if participation is to inform project design, monitoring and evaluation then it has to be recognised that the participatory process can lead to unexpected changes and shifts in focus. Thus, an accountability system which encompasses authentic participation must support a certain degree of flexibility and must be able to accommodate the complexity which emerges from participatory approaches.

IMPLEMENTATION OF THE PRACTICE MODEL

Within the original design of PIP the practice model there was an explicit intention that the group members would be encouraged to participate in all aspects of implementation; the data highlights that group members decided when and where to meet, how to use resources and to a large extent what activities to undertake. As noted previously, whilst participation was capped, UYDEL's beneficiaries were offered the opportunity to select group members; this decision led to 20 women being voted in, as PIP group members, by their peers. As highlighted in **Appendix I1,** the PIP group members defined the ultimate purpose of the group and rules for membership. They also decided how best to manage the group; in Kawempe the group decided that it wanted to have a different leader every week, whilst in Makindye they decided to appoint roles from the outset. PIP had minimal available resources. However, the PIP group members were able to choose how best to use the resources which were available. In Makindye, the group decided that they wanted to spend their allowance each week, whilst in Kawempe the group choose to embark upon collectively saving their allowance. As will be discussed further in regards to power, this small decision had a dramatic and unexpected positive outcome; the PIP group members in Kawempe utilised money that was not considered as significant, to establish their own business. The PIP group members' creative use of resources in Kawempe highlighted the impact that giving control over resources could have upon the PIP group members involved. Within the impact assessment, the facilitators noted that they would

not have imagined that so much could be done with so little, and they would not have been so creative with the available use of resources. As discussed in regards to complexity, the inquiry highlighted that there were distinct *standpoints-of-scale*. Whilst this issue may present challenges it is also suggested that the inquiry highlights that *standpoints-of-scale* can also bring about creative solutions and potential to enhance impact. By allowing the PIP group members to take control over issues that may have been overlooked or dismissed by the facilitators, the group members were able to identify courses of action that the facilitators could not. In regards to accountability, the issue highlights that *standpoints-of-scale* may be significant in defining accountability and responsible action.

Along with changes of focus, the participatory approach also led to frequent changes in implementation. For example, the PIP Kawempe group decided to change its meeting time and day on several occasions. It is noted, however, that these changes were in many cases a result of the complex lives faced by participants, as they had to manage work, child care and other responsibilities. On one occasion it was noted that the session time was changed to the morning as most could not afford to eat during the day, so, after lunch time, if they had not eaten, it was difficult to concentrate. Holding the sessions in the morning meant that they could use part of their allowance to pay for lunch. The right of PIP group members was viewed as empowering, but it also presented the PIP facilitators with challenges as they often did not know what to expect. Even where agendas or times had been planned in advance, the group members would often change time or location at the last moment.

DIFFERENCES BETWEEN GROUPS AND INDIVIDUALS

All human beings are complex; each individual has their own unique capacities, life histories, aspirations and challenges. This inquiry worked with two relatively homogenous groups; each group consisted of ten young women, aged between 15 and 24, living in slum areas of Kampala. Whilst on paper the groups were similar, there were notable differences between groups and individuals that resulted in changes to the implementation. 'When teaching English, I need two tier levels as the difference in ability is quite dramatic between YP' (SE-PF: Aug, 2012). From the initial sessions, the PIP facilitators noted disparities between each group's education levels, speed and familiarity of learning. Whilst every individual began from their own unique starting point, in general, the education and literacy levels appeared to be lower in Kawempe; a factor which may well have been caused by the area's relative deprivation. From within the groups it was noted that some individuals had never engaged in formal education or employment and were not able to read or write in any language; 'I have realised that some of the girls have never been to school; have no English and

cannot write in their own native language' (MR-S Mar, 2012). In contrast to the individuals who had never attended school, it was noted that some group members had continued in education up to age 18.

The diversity experienced meant that it was not viable to run the PIP group sessions in parallel between the two sites as originally envisioned. Instead of forcing the group to accomplish a task within a given timeframe, the PIP facilitators encouraged each group to progress at a rate which suited them. Recognising that some of the individuals appeared to be self-conscious of the fact that they could not read or write, as a result in Kawempe, all initial activities were purposely designed to ensure that non-literate individuals were not excluded from participating. Many activities were undertaken verbally or through the use of drawings. The PIP facilitators also expressed a belief that a lack of exposure to formal education or schooling might have affected the manner in which the groups worked.

MOTIVATIONS AND INTERESTS

The session agendas also changed as the PIP group members' motivations and interests changed. The mid-term interviews highlighted that PIP group members initially joined the groups for various reasons; some for the prestige of being elected or because they wanted to improve their English. Although the PIP group members only articulated this after some time, they admitted that when initially joining they had a poor initial understanding of what the group work would entail. 'I expected to learn English, to learn a lot. But I didn't know what I was going to learn' (ME-GM: Mar, 2012). However, as the inquiry progressed, the group members' motivations and interests appeared to change; their motivations and interests were not static, they changed and evolved over time. At later stages of the inquiry, it was evident that PIP group members had developed a commitment to the objectives of the group and its other members. 'Now the girls were showing definite signs of acting as a team, they are passionate about their subject choice' (MR-S: May, 2012) This commitment was demonstrated as, beyond the point of my departure at the end of the main inquiry, both PIP groups continued to meet independently and without resources to support their activities. A desire to continue working as a group and a desire to have an impact upon their issues of concern were cited as reasons for continuing past the end of the inquiry. It has been repeatedly highlighted that Kawempe was the harder of the two areas to work in and that the group members encountered more challenges to participation. However, it is noted that the Kawempe group members travelled the greatest personal distance in their participation and that the group had a strong commitment to its purpose from the outset. The Makindye group did not originally demonstrate such a strong commitment to its goals, but it was noted that after the death of one of

the members, the group appeared to share a very strong solidarity with each other and a determination to meet the goals of the group.

TRUST

The participatory approach adopted purposely gave the PIP group members the ability to shape the direction of their group work. Each group was able to pursue different interests and chose to work in a manner of their choice. As highlighted previously, certain communities appeared more fearful of researchers than others. Apprehension in regards to research varied between the PIP groups; it was noted that PIP group members in Kawempe were particularly hesitant in regards to being recorded, as a journalist had previously used their images without consent and in an untruthful manner. As a result the Kawempe group refused to give consent for recordings; there are no early photographic or film recordings of the group sessions during the first few months of this inquiry. They permitted the inquiry to proceed, but this choice had an impact on the methods used for the inquiry. Records of the planning and review meetings highlight that the PIP facilitators decided to allow for time for a relationship to develop and not to push the group members in any way. The purpose of the inquiry was explained on numerous occasions and it was repeatedly expressed that the inquiry was not seeking to make the PIP group members and their personal lives the subject of inquiry. In order to develop the sense of trust more gradually, the PIP facilitators decided to slow the pace of activities in Kawempe and to introduce more relationship-building activities. The original design of PIP anticipated that the activities in each group would run in parallel; however it became evident very quickly that it was not possible to work in this way; the Kawempe group required a much greater period of time to develop trust with the facilitators and with other group members. As the inquiry evolved, understanding of the purpose and relationships of trust also developed. By the time of the impact evaluation visit, the PIP group members had not only granted consent for recording but highlighted that they wanted their contribution to this inquiry to be known. The acknowledgement at the start of this thesis reflects the young people's wish that their picture and first name should be included within the acknowledgements. I also respected their wish that their last name and location should not be disclosed.

CHANGING THE PHYSICAL ENVIRONMENT

The spatial complexity of location made it impossible to find user-friendly spaces within the slum areas. Whilst the facilitators had reservations about both locations, the data highlighted that the facilitators made efforts to change the location as far as they could. Particularly in Kawempe where PIP sessions took place in a disused school, there was a concern that the environment was not

suitable for participatory work. As **Appendix K** highlights, from the first session, the facilitators altered the rows of desks and chairs into a circle configuration. The environment was altered to discourage the space from appearing too 'school like'; symbolically the change was intended to highlight that the PIP group members were not in class and that there should be an equal relationship between all those involved in the session. 'Re-arranged room to make it less school like and sat on the ground for part of the session (symbolically important in Uganda as teachers /anyone of importance will not sit on the ground)' (MR-S: March, 2012).As Hope and Timmel highlight, 'research has shown that the arrangement of a room has a strong effect on the participation in a discussion' (Hope *et al.*, 1984:9). In both locations a floor mat was purchased so a group session could take place anywhere the mat was. The mat supported the creation of a more informal environment where individuals could lie down whilst working or take care of their children. It is noted that whilst the PIP facilitators regularly used flip chart paper, the PIP facilitators usually placed flip in the centre of a circle on the mat rather than working at the front of the group. Again, working on the floor was intended to be symbolic of power dimensions but it also served as a useful tool that increased working space whilst also enabling women to tend to their children whilst they played. Badham highlights that customisation of the surroundings can make environments feel more like the group's own territory (cited in Mullender *et al.*, 2013:83).

FACILITATOR TRAINING

The participatory process took time; due to the challenges faced, it is evident that the PIP facilitators felt that it was not possible to rush the process. In regards to participatory research O'Kane highlights that 'despite the common myth that participatory research represents a quick way of doing things, participatory approaches may 'take time and be complex'' (O'kane, 2000:151); there are no shortcuts. Jigyasu supports the assertion: he states: 'while I have a lot of faith in the potential of PAR [Participatory Action Research], the essential pre-conditions for this to happen are rather difficult for a researcher who has limited time and resources at their disposal' (Jigyasu, 2010:109). As the inquiry evolved it became apparent that it was necessary to support the PIP facilitators with training. When supporting empowerment, it is argued that the 'skills of the change agent need to be consistent with the open-ended nature of the process: facilitation skills, active listening skills, non-directive questioning skills' (Rowlands, 1998:26). Furthermore, it is asserted that self-directed groups require facilitators who base their style of intervention firmly 'recognising that all members already have skills, understanding and ability' (Fleming and Ward, 2013:55).

However, the planning and review notes demonstrated that I initially struggled to teach participatory facilitation skills. It wasn't recognised at the time, but effectively the PIP facilitators

established processes to support participation. It was agreed that mini-trainings would be conducted each week in the planning and review meetings. The PIP facilitators were asked to watch each other facilitating so that facilitation and participation skills could be discussed. The mini trainings were designed because there was no budget available for intensive training; these training could be delivered at zero cost. Furthermore, the gradual process of learning was viewed as beneficial. It allowed the PIP facilitators to learn by doing. In early sessions I primarily led facilitation; one of the local facilitators would support and translate. At a later stage, the local facilitators and the PIP group members adopted a greater lead role in facilitation. It is important to note, however, that the peer learning among the PIP facilitators was not one-directional. Whilst I had more experience in facilitation, it was noted that I also learnt from the local facilitators who had a much better contextual understanding.

UNPREDICTABLE IMPACT

One final point to note in regards to the complexity of participation relates to the challenge of predicting and identifying change. It is important to highlight that the changes witnessed were not necessarily predictable or immediate. Issues considered as small by the facilitators, such as decisions regarding allowances, resulted in significant impacts, such as the initiation of a business. Conversely, those which were considered to bring change, such as in project design and proposal writing, did not necessarily have any impact. Furthermore, change was sometimes delayed. Cronin and O'Reagan assert that 'it should be recognised that many participatory approaches have an immediate cost in terms of people's time, but benefits may not arrive for a long time' (Cronin and O'Reagan, 2002:16). This issue will be discussed further in the subsequent chapter as the issue relates to that of empowerment, but it is highlighted that certain changes which were the result of participation did not emerge until several months after the group-work stage.

METHODOLOGICAL REFLECTION ON COMPLEXITY

The action research methodology utilised in this inquiry effectively resulted in three dimensions of action research running concurrently. It was exceptionally challenging to manage the action research within such a complex context. This section focuses more on the methodological impact of the complexity encountered.

FOSTERING THE PARTNERSHIP

By engaging in practice over the duration of a year, the research methodology was able to identify complexity that may not have emerged otherwise. My background in the NGO sector gave me the knowledge and ability to attract the interest of NGOs. Garrett highlights, 'despite apparent benefits, explicit collaborations between research and operational organisations are not common' (2010:295). The organisational culture within the sector means that academics can often find the sector difficult to access, 'it is not unusual, particularly in activist or community-based NGOs, to find an anti-academic bias' (Roper, 2002:341). My experience meant that I could present myself as an NGO practitioner rather than an academic. As highlighted in **Appendix B2,** which shows my introduction to NGOs, I purposely avoided academic language. Arguably, 'the potential for academic–NGO collaboration is enormous, but such collaboration is far more difficult than it appears on the surface' (Roper, 2002:338). Even when collaborators share a commitment to values, tensions can emerge as different organisational cultures and systems collide. Within this inquiry, the process of ethics posed particular tension as the ethical systems required by the University and government of Uganda were exceptionally slow, whilst the NGO moved at a much faster pace. The action research process meant that I could negotiate this issue by working as a practitioner within the NGO, whilst awaiting ethical consent to proceed with the youth-led action research. As Huxham and Vangen note 'things that may be easy in your organisation may, for example, require major political manoeuvring in another' (Huxham and Vangen, 2005:37).

PROFESSIONAL BOUNDARIES AND PERSONAL CHALLENGES

The inquiry process was emotionally challenging; it was tough working in a new and unfamiliar country; it was tough being sick so often; it was tough feeling guilt over the extreme poverty I witnessed. Furthermore, whilst I faced challenges many of my normal coping mechanisms were removed; I was constrained by what was safe and affordable whilst also removed from friends and family. My experience in Uganda at times led me to question my presence as a researcher. I also felt very guilty about being part of the community without having much ability to help practically

with the day-to-day struggles encountered by many. At the time, I perhaps underestimated the risk I was exposed to. I came to see many of the risks as normal and began benchmarking my risk against the risk encountered by the PIP group members; at the time, it did not occur to me that this might not have been an appropriate benchmark.

> *'[My supervisor said] 'I looked at the prep sheet and it all looked like it was going really well until I read the last page'. I didn't understand what he was talking about at first and had to ask him. At that point I realised that my view on security might have become slightly skewed– I like the fact the rioting has ceased, which makes my life and movement a lot easier - it seems like an easy month. Although someone did try to break into my house again' (MR-S: July, 2012)*

Whilst beyond the scope of the inquiry, I noted that when returning home, these issues became more pronounced; I experienced reverse culture shock. I felt even guiltier and it took some time to reduce my perception of risk; it seemed unsafe to live in a house without bars or to walk at night safely. I believe that a couple of incidents, such as the armed robbery at my home, had a longer-term impact on my emotional well-being. Furthermore, I was subject to various health complications that took several months to resolve, after becoming sick in Uganda.

Working so closely with the PIP group members, I believe it would have been impossible for any facilitator not to have developed a personal relationship. However, this brings into question the issue of professional boundaries and identity. The National Youth Agency states that practitioners must 'recognise the boundaries between personal and professional life' (NYA, 2005:20). As such, all the PIP facilitators attempted to maintain professional boundaries, as defined in the PIP facilitators' staff code-of-conduct**, Appendix F2,** which was designed collaboratively with UYDEL for the purpose of this inquiry. However, in the follow-up stage of the inquiry, I discussed this issue with the other PIP facilitators. We all admitted that we had become close to the young people involved and felt a sense of guardianship towards them. I noted that following the death of one of the group members my relationship with the group changed. It was less of a rational choice, rather an unavoidable event, I couldn't hide how I felt. Liamputtong highlights how some researchers choose to maintain emotional distance. She argues that some researchers 'hide' the truth, pretend not to know or suppress their feelings in order to protect their research participants. However, she also notes how this can leave researchers with emotional problems' (Liamputtong, 2007:85). Whilst I tried to maintain personal boundaries throughout the inquiry, I also made a conscious decision never to lie but to limit my own disclosure when asked personal questions by the PIP group members. As Eder and Finerson (2002) highlight, this is a complex issue as researchers must 'think carefully about whether, when and how much disclosure makes sense in the context of particular research projects' (cited in Liamputtong, 2007:74).

APPLICATION OF METHODS

Whilst the rigour of the methodological design supported the research to continue, I was sometimes confused by my own practitioner-researcher role. I sometimes found myself slipping into more of a practitioner role than a researcher role. However, the forms and systems I had agreed in advance meant that I could apply the methods systematically. Whilst some methods, such as the PIP group members' evaluations, were dropped due to the participant's request, other methods were viewed as being helpful. The session evaluation sheets were viewed as beneficial as it offered the facilitators five minutes to reflect and plan at the end of each session. The forms were not excessive and were flexible enough to respond to emergent events. The participatory approaches, however, meant that I lost control over some aspects of the methodological design. For example, it was noted that all the PIP group members engaged in the inquiry were female. This was not an intentional decision made by me or UYDEL. The gender bias in participation reflects UYDEL's primary engagement with young women. As highlighted above, a decision was made that UYDEL's young beneficiaries could select the PIP group members as all of the individuals interested were women, therefore, all the selected members were women. Whilst this decision was not intentional, it is acknowledged that this bias may have impacted the inquiry. It is not known if the results of the inquiry would have been different if males were included as PIP group members.

CHAPTER 5:
FINDINGS & DISCUSSION
POWER AND ACCOUNTABILITY

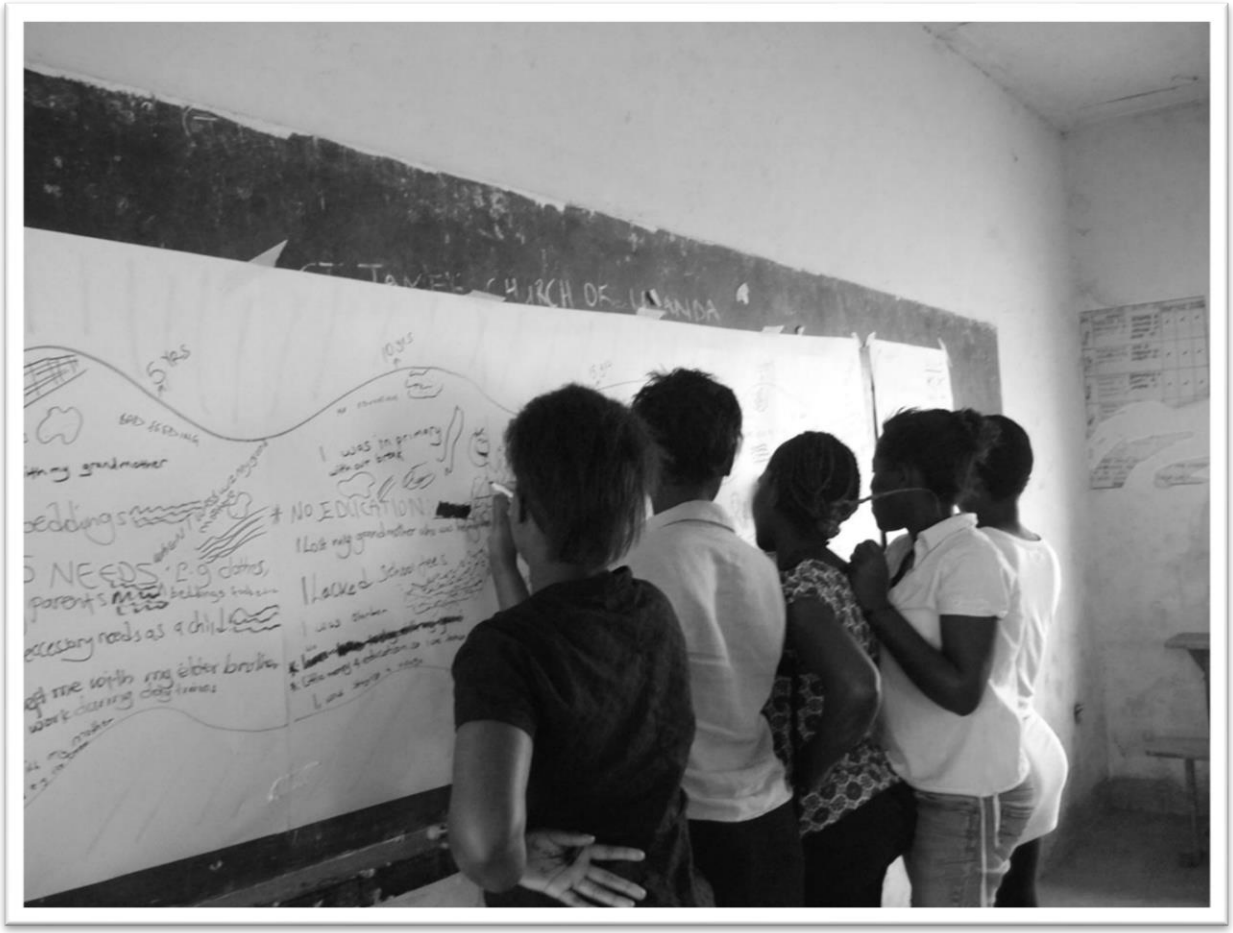


FIGURE 11: PIP GROUP MEMBERS ENGAGING IN THE 'RIVERS OF EXPERIENCE' ACTIVITY, 2012

MANIFESTATIONS OF POWER

The previous chapter highlighted how change appeared to emerge as a result of the necessity to respond to the complexity of context, to the complexity of the participatory approach and the complex lives of the individuals involved. Whilst change was often forced by necessity, the data also highlighted that change emerged as a consequence of the power dynamics involved. Tensions and conflict were often apparent; whether overtly or implicitly, change was instigated by a wide array of actors, and their related interests, beliefs and priorities. This chapter discusses the way in which power emerged and how the PIP facilitators attempted to foster an empowering process. The chapter concludes with a methodological reflection in which I reflect upon how the inquiry was influenced by aspects of power. Within this chapter, I discuss issues of power by utilising various theoretical constructs. Whilst there are numerous theories of power, I have chosen to draw predominantly from the fields of international development and gender studies, due to their extensive history of being utilised to explore participatory approaches.

VISIBLE POWER

As highlighted by the literature review, it was known that power and inequality was an inhibiting factor to NGO accountability. Rowlands proposes that the dominant understanding of power within the social sciences has been representative of the ***'power over'*** conceptualisation. Here 'one person, or grouping of people, is able to control in some way the actions or options of another' (Rowlands, 1998:12). Dahl (1957) defines *power over* as pertaining to contexts where 'A has power over B to the extent that s/he can get B to do something that B would not otherwise do'. Within the inquiry, there were various points where one individual can be viewed as exerting their power over another. But authors such as Lukes (1974) highlight that one person's power over another can manifest in different ways; he argues for the need for a three-dimensional view of power which consists of 'power you can see and clearly challenge [visible power], the power that you can see but have less clear means to challenge [hidden power] and the power that is less visible [invisible power]' (Dalrymple and Burke, 2006:35).

Visible power is a concept that includes 'the formal rules, structures, authorities, institutions, and procedures of decision making'(Miller *et al.*, 2006). Whilst PIP the practice model explicitly attempted to redress power inequalities, the data highlighted examples of where power was utilised in overt, visible ways. From UYDEL's wide range of accountability actors, the most visible accountability demands were made by the national and local government of Uganda. In accordance with the internationally agreed Paris declaration, which was described in the literature review, the

government of Uganda had the sovereign right to define responsible action and to lead aid distribution in the country. Frustrated by NGOs who often establish services that run in parallel or in opposition to government initiatives, since 1989 the government of Uganda exhibited *visible power over* NGOs in the country circa the NGO Registration Act. As an NGO implementing projects in Uganda, UYDEL was legally mandated to ensure and demonstrate responsible conduct to the government. The National Board of Non-Governmental Organisations is charged under the current legal framework to oversee NGO activity; sitting within the Ugandan NGO forum, it is the organisation which functionalises NGO registration in Uganda. There are strong ties to the government as 'The Ministry of Internal Affairs oversees the NGO Board and its members are appointed directly by the minister. Members include three members of the public, officials from the Internal Security Organization (ISO) and the External Security Organization (ESO), as well as representatives from government ministries' (HRW, 2012:15). The NGO registration Act requires NGOs to submit annual reports and limits NGO permits to a duration of 1 year. Alongside registration, district level monitoring and coordination is used by the government of Uganda as an accountability mechanism. Article 26 of the Local Government Act (1997) states that 'NGOs must cooperate with the local councils and the relevant district committees in the area'. Furthermore the NGO policy (2010) 'requires all NGOs to register with districts and to be monitored' (Wild and Domingo, 2012:18). Whilst there were legal frameworks already in place to hold NGOs to account, in 2012 the government of Uganda increased its visible '*power over*' NGOs in Uganda as the 2012 NGO policy was introduced.

MACRO INFLUENCES

The original design of the practice model adopted a systemic perspective which highlighted the importance of exploring power at an individual, micro, meso, exo and macro level. The 2012 NGO policy is a clear example of the Government of Uganda attempting to exert their *power over* NGOs in a highly visible way. But it is important to explore power at a macro level and to identify how global or national scale events might have influenced how power emerged. The government of Uganda's decision to enhance their accountability demands in 2012 may have been influenced by a combination of national and global events that were viewed by the government as undermining the state's sovereignty and highlighting the irresponsible action of some NGOs in the country. The inherently political nature of aid was highlighted throughout the inquiry as aid was withheld from Uganda by international bilateral and unilateral donors, due to perceived failings of accountability and opposing moral stances in defining responsible action. Throughout 2012 the Government was subject to a series of allegations regarding the misuse and misappropriation of funding; for example,

payments to teachers were halted as the issue of fraudulent payments to 'ghost pensioners' and 'ghost teachers' emerged. Earlier in the year, the International Monetary Fund (IMF) delayed approval of Uganda's economic policies because 'government spending was found to be out of compliance with agreed-upon principles of macroeconomic stability' (HRW, 2012:10). In October, when 'Uganda's auditor general reported extensive fraud regarding €22.9 million' the governments of Denmark, Ireland, Norway, Sweden, and the United Kingdom decided to suspend development aid in response (HRW, 2013:184). Aid was used by donors as a means of holding the government of Uganda to account; they were exerting their '*power over*' to force the government of Uganda to ensure and demonstrate responsible action. These actions subsequently led to civil disturbance within the country as a wide range of individuals felt the brunt of this decision. Whilst the accusations of corruption made global headlines, one of the biggest news stories of the year related to the 'Kony 2012' advocacy campaign which was led by the NGO *Invisible Children.* Whilst the media campaign led to an unprecedented international public response, the same campaign was highly criticised from within Uganda. The government published a statement stating that:

> *'Misinterpretations of media content may lead some people to believe that the LRA is currently active in Uganda. It must be clarified that at present the LRA is not active in any part of Uganda' (The Guardian, 2014)*

From this event, which occurred in March 2012, tensions between the government and NGOs continued to escalate, particularly as the government of Uganda received harsh criticism from NGOs and donors in regards to the country's human rights record. During the period of inquiry Uganda again made global headlines in regards to the government's proposed Anti-homosexuality Bill, which would have introduced the death sentence. As NGOs tried to organise a response to this proposal, the government was criticised for closing down an NGO conference on this subject and arresting some participants. Later in the year, the government was again accused of limiting freedom of speech as the police forced the closure of some of the country's largest newspaper presses and radio stations. According to the Human Rights Watch Report 'NGOs seeking to educate the public about the value of their land, community processes, and compensation rights face a variety of problems from government officials, including threats of deregistration, accusations of sabotaging government programs, and arrest' (HRW, 2012:27). The NGO policy 2012 defined responsible action for NGOs working in the country. It was a policy designed to tighten control over NGOs and it prohibited NGOs from adopting specific functions and highlighted the government's right to retract the NGO's right to operate in the country if it was deemed to be undertaking irresponsible action. For example, it was noted that under the new legislation 'organizations working on the rights of LGBT people cannot register to operate legally' (HRW, 2013:180). The

government was accused of violating NGOs' rights to freedom of expression and freedom of assembly, which are protected by the Constitution of Uganda. Mohammed and Nyanzi stated that the NGO policy 'is fuelling anxiety in the NGO sector that the government may abuse the new legislation to threaten and muffle critical voices' (cited in Burger, 2012:102).

Edwards has defined legitimacy as 'the right to be and does something in society – a sense that an organisation is lawful, admissible and justified in a chosen course of action' (Edwards cited in Jagadananda and David-Brown, 2010:117). NGOs may view holding the government to account, for violations of law or human rights, as an articulation of their values and demonstration of internal accountability. However, particularly in cases where issues are viewed as too sensitive to demonstrate voice via participation, then questions are raised to whether the NGO has a legitimate right to act against the wishes of the government. If NGOs cannot demonstrate downward accountability, then they may be viewed as powerful but unelected organisations that lack legitimacy. Pinkney (2009) questions the right of NGOs in Uganda to promote a concept of *democracy without votes* and questions NGO legitimacy in light of their relatively narrow concerns and their lack of mass power bases. Moyo (2009) also questions the ethics of aid, claiming that aid in its current form is in fact a *de facto* form of modern day colonialization. It is argued that governments, as elected bodies, should have the sovereign right to control these organisations; to demand accountability and to define responsible action. In light of this growing resistance, Pinkney highlights that since the 1990s, African states have increasingly begun to re-assert their authority against unregulated NGOs.

Whilst tensions between donors, NGOs and the government of Uganda were heightened by the aforementioned events, the situation was further complicated by the fact that the PIP groups actively engaged young slum dwelling youths in Kampala. During early implementation of PIP, the PIP group members highlighted a belief on several occasions that they were viewed poorly by the wider community. 'People were not approachable - they looked at us like we were lower people' (FE-GM: Jun, 2013. The young people's view that they were viewed poorly was confirmed by other actors who indicated a belief that young people from the area were likely to be criminals, or that they were likely to become involved in civil disputes. As discussed previously, at the time of the inquiry Uganda was experiencing what was known as a youth bulge. A sudden increase in the youth population, limited employment opportunities and high levels of urban migration of young people to Kampala's slum areas, had caused many individuals to believe that this group was behind much of the recent political instability. UN-HABITAT warn that upcoming generations continue to suffer disproportionately from a scarcity of decent employment opportunities and that this 'scarcity is the

primary cause of poverty and social instability' (2011:96). An inquiry by the International Youth Foundation (IYF) echoed this in stating that youth in Uganda were both the primary perpetrators and victims of political violence due to the 'lack of livelihood alternatives' (IYF, 2011:19). Anxiety about Kampala's urban youth population heightened in 2012 when local media reported that the opposition party Action for Change (A4C) had been paying youth to create political instability. The emergent political issues led various stakeholders to express concern regarding the potential for the PIP group to become politically charged. At the beginning of the inquiry, one accountability actor stated 'that opposition and Government MPs are keen to politicise YP for their own purpose – the youth are 'politically charged'. I must be wary of people that may want to hijack the group or work for their own purpose' (MR-S: Jul, 2012).

INVISIBLE POWER

The data suggested that the national and global events which were taking place throughout the inquiry may have led to power manifesting in what Lukes (1974) refers to as invisible forms of *power over*. ***Invisible power*** describes power which operates in ways that render competing interests and problems invisible. Miller highlights that when exerted in this way, significant problems and issues are 'not only kept from the decision-making table but also from the minds and consciousness of the different players involved' (Miller *et al.*, 2006:48). It was noted that it was rare that visible forms of power manifested. However, the events described above led to actors behaving in ways which they thought more powerful accountability actors would want. When the subject of crime and insecurity was raised as a possible subject in Makindye, UYDEL managers exerted their *visible power* by enacting their right within the agreed Memorandum of Understanding (MoU). One UYDEL manager highlighted that they 'will not approve anything too political' (SP-S: Apr, 2012). Actions to limit or change the group member's subject choice demonstrated that on rare occasions the NGO and facilitators chose to prioritise *upward accountability* to the government, over *downward accountability* to the PIP group members and local community. However, these expressions of *visible power* were underscored by an *invisible power* dynamic; there was a so-called '*felt power'* exerted. When PIP Makindye proposed research on crime and insecurity, many individuals highlighted a concern that it may be unsafe and unethical to allow PIP group members to proceed. Furthermore, any activity which brought NGOs, urban youth and local leaders together at a time of political instability was going to face challenges. On numerous occasions, PIP facilitators, PIP group members and UYDEL staff demonstrated a concern that the inquiry could cause reputational damage to the NGO or harm to the young people involved and participants. In one monthly report I stated 'I am very, very nervous in particular about the Makindye's choice of subject. […] I need to ensure that the

young people are not at risk' (MR-S: May, 2012). It was noted that previous research on a similar subject had been undertaken in the Makindye area. The young people and community highlighted the detrimental effects of this research upon those involved. However, whilst the data supports the concept that there was a notable '*felt power*' experienced by those involved, it is important to highlight that local leaders or government officials rarely exerted *visible power* within the process. Local leaders did advise that young people should not become politically charged, that they should be informed of progress, and that any research should be politically neutral; however, there was never any direct action to halt or change activities and facilitators were able to freely express the boundaries of what information could or could not be shared. It is beyond the scope of the inquiry to assess the validity of the concerns expressed, but attempt has been made to highlight the national and global events which may have influenced the views of actors involved. Two points are of particular note; firstly, that accountability does not occur in a vacuum - it is affected by external events; secondly, that expressions of power are not always overt and visible, accountability can be affected by '*invisible power*' dynamics which shape our perceptions, define what we regard as responsible action and influence our decision making.

POWER BROKERING

A broker is defined by Tennyson as a person who acts as a go-between in making relationships (for example a marriage-broker) or middleman (Tennyson, 2005). Accountability is defined by how you ensure and demonstrate responsible action. One of the findings of the inquiry was that despite this not being the original intention of the practice model and despite interventions to avoid the emergence of this role, the PIP facilitators regularly acted in the role of broker between different accountability actors. This issue will be discussed throughout this chapter, but it is important to note that the PIP facilitators were aware of their own *visible* and *invisible power*; they utilised not only formal procedures but individuals' perception of them to broker power and access for the PIP group members. For example, due to the perceived risks of tackling a sensitive subject at a time of political instability a decision was made that the PIP group members should not initially be disclosed and that local leaders would have to grant consent before proceeding. Following discussions with UYDEL managers, facilitators and the PIP group members, it was decided that in order to safeguard the interests of the PIP group members I would meet local leaders initially to discuss the inquiry and proposed subject. All parties believed that my status as an outsider and academic afforded me the greater potential to raise sensitive subjects without experiencing the same risks as insiders. To a certain extent inappropriate action or lack of sensitivity would be excused due to my lack of cultural knowledge, and in a worst case scenario I could leave and the NGO could disassociate from me if

they had to. Furthermore, my identity as an academic, a muzungu, was viewed as giving me credibility, neutrality and authority. Chambers asserts that 'normal professionalism' 'creates and sustains its own reality' (Chambers, 1997:54). Via a perpetuating circle that utilises academic institutions, values, status, and power, Chambers states that 'the views of uppers [those who are powerful within society] are often privileged to be empirically true and morally right' (1997:77). Rowlands asserts that 'power is both the source of oppression in its abuse and the source of emancipation in its use' (Rowlands, 1998:14). An ethical challenge is raised in regards to the acceptability of PIP facilitators utilising their own *power over* if this is for the primary purpose of safeguarding and protecting the voice of marginalised accountability actors.

POWER IN SYSTEMS

Whilst the data suggested that '*power over*' could be viewed as manifesting in visible and invisible ways, it is argued that one of the primary ways in which the PIP group members' stake as an accountability actor was marginalised was through manifestations of *hidden power*. The concept of ***hidden power*** highlights how power can manifest within organisational systems and bureaucracy. Lukes argues that the bias in a system is not sustained simply by a series of individually chosen acts, but by 'the socially constructed and culturally patterned behaviour of groups, and practices in institutions, which may indeed be manifested by individual's inaction' (Lukes, 1974:22). *Hidden power* explores how power is exercised through settings, systems, manipulating agendas and marginalising the concerns and voices of less powerful groups. As the name implies, *hidden power* 'often proves to be a hard one to define or to locate, and its meaning might change depending on the context in question' (Pantazidou, 2012:11). The data suggests that power was exerted through the accountability and project management systems adopted. Throughout the inquiry, it was apparent that whilst many accountability actors explicitly supported the concept of participation and downward accountability, they failed to recognise how the 'normal way of doing things' could result in an articulation of power.

HIDDEN POWER

One way in way in which *hidden power* can manifest is through the language we use. Speaking in regards to NGO accountability, authors Cronin and O'Reagan assert that 'Language, in particular, can be a very serious barrier to access' (Cronin and O'Reagan, 2002:30). Within the PIP group session activities, one area of focus was on how the term accountability is defined and conceptualised. Arguably, even the terms utilised to describe the typological framework can be viewed as evidence of how language can be symbolic of power relationships. As Murtaza highlights, 'the common use by NGOs of the term 'downward accountability' to refer to accountability to communities aptly describes where in the hierarchy communities fall for NGOs' (Murtaza, 2011:122). In this inquiry, I adopted the term downward accountability, but it is also evident that an attempt was made to describe accountability in a manner that was power neutral. As highlighted in ***Appendix L,*** prior to introducing my definition of accountability, the activities 'Mrs responsible' and 'our NGO', were used to elicit the young people's perception of responsible action and NGO accountability. In these activities, individuals were asked to imagine and describe a person and a responsible NGO. The outputs of these activities highlighted that project outcomes were viewed as secondary to process; how the NGO worked and the NGO's honesty with them was more important than the outcome. The

findings indicate that the PIP group members may define accountability differently from the NGO and its donors. It is possible that the data suggests that the language of accountability is itself a manifestation of power, as terminology is defined by what the most powerful actors perceive as important.

GROUP SESSIONS AND THE YOUTH-LED ACTION RESEARCH

Discussion of accountability highlights just one example of how language and terminology were negotiated within the PIP group sessions. It was noted previously that the participatory process led to the PIP group members choosing the session language. Whilst English and Luganda was adopted, it is also important to highlight that PIP facilitators were able to translate when necessary and that much of the terminology used within sessions was defined by the group members. For example, the '*show me, tell me* activity', described in ***Appendix L*** asked the PIP group members to describe poverty in their own terms. The results of this activity indicate a highly localised conceptualisation of poverty, the PIP group members related poverty to issues such as flooding which affected their own environment. When asked to describe poverty in this activity the group drew a mud brick house surrounded by flood water. A child is shown drowning in the polluted water that was common in this area. Describing issues that would not have affected Makindye, the activity creates a highly localised interpretation of poverty that is specific to Kawempe.

One of the most significant examples of how terminology was negotiated is evident in the youth-led survey. As seen in ***Appendix I5*** the PIP group members developed research tools utilising their own language. Whilst the PIP group members had a common understanding of these terms, they were asked to describe terms such as '*drunkerds'*, *'tricksters', 'punish again'* and *'mob justice'* so as to ensure that the research results and questions would be clear to outsiders such as myself. Furthermore, as some young people were still struggling with the use of English, pictures were integrated into the design to support non-literate individuals to facilitate the delivery of the survey. This example shows that language and terminology do not have to be defined by the powerful and that surveys do not have to utilise specific language or even words. Dewey stated that the character of everyday experience is saturated with the results of social intercourse and communication because language is 'the instrument of social cooperation and mutual participation' (2003:36). Negotiation of language and participation was considered as an integral part of breaking down power asymmetries between different accountability actors. Furthermore, it was viewed that the PIP group members' lead in designing the survey would make it more accessible to local community members. As highlighted by Mullender and Ward 'words which stem directly from group members' own experiences will always tend to be more powerful' (Mullender and Ward, 1991b:32).

CONTROL

In both sites a decision was made by the PIP facilitators to refrain from altering or correcting the young people's own language as they believed that this would enforce a perception that research had to be facilitated by certain people in a certain way, taking power away from the group members. Whilst the research in Makindye was viewed as successfully producing useful data, the choice not to intervene in Kawempe was questioned as there were obvious issues with the survey design that had led to discrepancies and confusion. The PIP group members' ability to design and lead the research process themselves had an evident catalytic validity for the group. 'The team said that from the experience they learnt how to work as a team, how to be confident, how to do research in practice and how to approach people' (SS-S: 2012). The data echoed the findings of various authors, who highlight that 'the very act of being involved in research can increase confidence, self-esteem and the belief that young service users' views matter' (McLaughlin, 2007:150). Whilst the survey in Makindye provided useable data, Kawempe's data was less convincing; however, in both locations the PIP group members learnt through the process. The experience of youth-led research brings into question the purpose of inquiry, whether the primary purpose of research in accountability systems should be regarded as a means of providing data to ensure and demonstrate responsible action to external actors, or whether the process of research is in itself an indication of responsible action, regardless of the data it may or may not produce.

Whilst the language and terminology utilised in the sessions and in the youth-led survey predominantly reflected the choices and preference of the PIP group members, the power shifted when it came to analysing and presenting findings. Chambers (1997) highlights the importance of facilitating groups to undertake their own analysis. As evident in the social-ecological mapping activity described in ***Appendix L and K,*** the PIP group members were encouraged to analyse the data from a critical and social ecological perspective. Harvey warns 'data are meaningful only in terms of their theoretical context' (Harvey, 1990:8). Within the analysis of the youth-led research an effort was made to critically analyse the data. However, the data was not viewed in this way by all accountability actors. It was noted the knowledge generated from the same data proved to be different for group members and more powerful accountability actors. As noted by Cronin and O'Reagan, accountability mechanisms much more frequently focus upon 'information flows from recipients to donors than voices, ideas or knowledge' (Cronin and O'Reagan, 2002:30). The implementation of PIP the practice model afforded the PIP groups the opportunity to analyse the data which they produced, but critical and social-ecological theoretical frameworks were only introduced to the PIP group members and PIP facilitators. This difference in training between

primary participants and non-participants led to a conflict regarding how data should be viewed and considered. Within this inquiry, it was evident that power can be exerted not just in the production of data, but in the right to analyse and interpret data. In regards to a broader understanding of accountability systems, it is important to acknowledge that systems that only offer an opportunity for participation in data production may result in inequality between accountability actors.

When first asked to comment on their findings, the PIP Makindye group wrote 'we learnt that crime is good, because it can help you to survive' (DE-S: Jun, 2013) But unsurprisingly whilst this quote was not incorrect and offered the honest voice of the young people, other accountability actors did not want this statement to be cited. The process of disseminating the Makindye crime survey was complex as the PIP facilitators tried to produce a document that satisfied all stakeholders involved. The document started with the PIP group members but was then edited and re-edited by the PIP facilitators, several times. In order to maintain relationships, it was viewed by UYDEL, the PIP facilitators and the PIP group members that local leaders should approve the document prior to publication. The data again demonstrates the power held by these actors in regards to knowledge generation. It also highlighted that the PIP facilitators found this process of negotiation challenging as they were trying to satisfy multiple stakeholders whilst also ensuring that the document genuinely reflected the opinion of the PIP group members without distortion.

KNOWLEDGE BROKERING

The way in which the PIP facilitators acted as intermediaries in communicating the knowledge generated by the youth-led research highlights that they were acting not just in the position of power brokers, but as knowledge brokers. In reference to NGO leadership, Hilhorst (2003) highlights the importance for individuals to act as brokers of meaning. 'Oliver de Sardan explicitly views NGO leaders as brokers (1995) or development interveners who mediate between different knowledge systems' (Hilhorst and Hilhorst, 2003:190). The issue of knowledge brokering is significant in relation to power as it is recognised that knowledge and power are entwined. Jurgens Habermas (1971) 'argued that knowledge production is never neutral, but rather is always pursued with some interest in mind' (Anderson and Herr, 2005:26). For many of the actors involved, the youth-led research was viewed as a means of raising awareness and proving need. Subsequently, UYDEL and the PIP group members wanted to produce a document that would attract the attention of potential donors. The issue of knowledge brokering was most evident when the PIP group members engaged in proposal writing. The PIP facilitators attempted to ensure that the voice of the

group members was heard but they were also inhibited by agendas and systems which constrained participation.

POWER THROUGH PROCEDURES

Throughout the inquiry the PIP group members wrote five separate funding proposals; just one proposal was successful. However, the data highlighted that several actors believed that the process of application created barriers to participation. In reference to a funding application designed for urban youth by one donor, a PIP group member argued that 'They should put terms that are favourable so that even a person in slum areas can apply for their money and they should be approachable' (FE-GM: Jun, 2013). On several occasions, there was an extremely short window to apply. One example is highlighted where the funding was advertised in local media just nine days prior to the application deadline. For this funding proposal, which was specifically designed for urban youth, the PIP group members were expected to design a project, formalise partnerships and complete a *logical framework*[43] before submitting their application online. Noting the challenges of developing a proposal in a participatory manner, the PIP facilitators considered the possibility of just working with one group. Whilst case specific, this example highlights how NGO practitioners may feel obliged to limit participation in order to meet deadlines.

The PIP facilitators ultimately decided to work with both groups, but aided this process by facilitating extra PIP sessions, in a location outside of the slum areas. By embarking on this process, they were subsequently able to work in a location where they had access to computers and where both groups could be convened simultaneously. This choice, however, had financial and time implications as the PIP facilitators paid for the PIP group members' travel costs. Workload also increased as the PIP facilitators designed several new activities to teach the skills required to complete the proposal. For example, ***Appendix L*** highlights activities where the PIP facilitators taught the group members logical framework design. Whilst it is evident that the PIP facilitators tried to ensure a participatory process, they noted pressure from several actors, including the PIP group members, to undertake a considerable amount of the work themselves. One PIP facilitator stated 'There were times when they would want me to make those decisions alone. They were like [PF2] knows everything, [PF2] will do it' and I was like 'No'' (FE-LF: Jun 2013). Due to the demands of proposals and the limited

[43] The terms logical framework and logframes, are commonly used in the NGO sector as an abbreviation of a Logical Framework Approach (LFA): within a logframe 'a project's objectives and expected results are identified in a matrix with a list of indicators used in measuring and verifying progress. This kind of accountability relies on a range of technical and professional skills related to performance measurement, indicator development, evaluation and impact assessment' (Ebrahim, 2010:9)

timeframes available, it is noted that the PIP facilitators were often left feeling as though they had no option but to limit the degree of participation. Often they demonstrated feeling uncomfortable as that participatory aspect of PIP was being compromised. 'Whilst I may have liked to have been more participatory in developing a constitution etc. this would have taken a lot more time' (MR-S: Oct, 2012). Challenges of participation were particularly prevalent when writing the proposal. It is noted that whilst the donors involved articulated a commitment to participation, the process of application inhibited this from happening. The time frame demanded afforded little time for participation, the online application method demonstrated a lack of understanding of the contextual challenges and the requirements of the application excluded the individuals it was designed to engage.

It has been argued that *downward accountability* requires that local communities, and beneficiaries, should be involved in project identification and design. However, when writing funding proposals, the PIP group members noted how proposals constrained what they could do or apply for. The proposals constrained not only the subject but also defined the timeframe of projects and limited the scope of supporting activities. 'The terms and conditions were very many. You must do everything on their conditions' (FE-GM: Jun, 2012). Whilst the importance of urban crime was highlighted by the PIP group members and by the results of the youth-led research, this issue was not highlighted as a priority area by UYDEL, as a priority within the Millennium Development Goals (MDGs) or as a priority for the government of Uganda. Because the issue highlighted by the PIP group was not viewed as a priority for the more powerful actors involved, the group members found that there were few avenues available to them to discuss this subject or to locate funding. According to Lukes (1974), 'power is the capacity not only to impose one's will, if necessary against the will of other parties but also to set the terms of the argument' (Mullender and Ward, 1991b:5). There is little space for participation beyond the parameters they define. UYDEL's beneficiaries were able to identify an issue that was of importance to them and how they were able to generate significant data to support their belief. Yet when the priorities did not fit within the parameters defined by more powerful actors, then the participatory process had limited avenues for progression. The implementation of PIP gave voice to the group members by highlighting issues that were important to them and evidence to validate their views. However, as noted by Goetz and Jenkins, simply listening to these voices, and doing nothing to act in response 'has discredited the idea that promoting voice is central to improving human well-being' (Goetz and Jenkins, 2002:9). The practice model's weakest aspect was related to its inability to call donors to account.

BOUNDARIES OF PARTICIPATION

The process of proposal writing is just one example of where participation was promoted within defined boundaries. Hart (2004) utilises the term participation-in-a-box to describe where participation is not integrated as a working principle across programmes but rather viewed as an add-on or singular project. It is argued that 'notions of sharing power, of stakeholders, of participation and representation and so on seem to refer increasingly to the self-contained world of projects themselves' (James cited in Cronin and O'Reagan, 2002:27). During the impact evaluation various individuals highlighted that whilst they regarded the PIP groups as highly participatory, they felt that this participation was limited to the group and that the PIP group hadn't had a wider impact upon the NGO. In regards to the PIP groups' relationship with UYDEL, it is evident from the impact evaluation that some individuals felt as though this also had its limitations. Generally, it was considered that there was no direct obstruction to involvement but that the NGO's normal way of working inhibited participation or that the NGO just forgot about the groups as it was not at the forefront of their minds. 'They don't undermine but they forget about the girls' (FE-LF: Jun, 2013). For example, whilst the PIP group members were involved in the strategic planning the PIP group members' feedback had to be given within a week. This meant that the PIP group members' planned activities were disrupted. Furthermore, the facilitators felt as though the PIP group members were unable to contribute fully to the complex nature of the strategic plan required more time if it was to be fully participatory.

Decision making was generally limited to issues that affected the PIP groups, rather than broader aspects of the NGO. Lloyd asserts that an 'NGO that is accountable to multiple stakeholders not only ensures that decisions are effective in meeting the needs of those interests, but also forces decisions to be made in a more equitable and fairer manner' (Lloyd, 2005:3). As highlighted in ***Appendix I14*** the PIP groups started a process of engaging UYDEL's wider beneficiaries and bringing attention to managers. However, authors such ad Cronin and O'Reagan highlight that different views and unequal power relations affect the decision-making process, 'participation may not be a sufficient condition for ensuring accountability' (Cronin and O'Reagan, 2002:14). In reference to accountability Pells argues that greater attention needs to be paid to the 'nature of relationships between NGOs and children, particularly in terms of better communication and transparency in decision-making processes and resource allocation' (Pells, 2010:202).

HABITUS

There was no evidence to suggest that design of the proposal, strategic planning or decision making was purposely designed to inhibit participation. Rather it appeared that often these issues emerged due to a lack of consideration and an inability to perceive how small details could have a significant exclusionary impact. Participation and *downward accountability* were not usually limited by overt visible '*power over*' but by more subtle factors and the organisational ***habitus***; the 'normal way of doing things'. Bourdieu's concept of habitus offers insights into how organisations create systems and cultures which can exclude. argues that each funder or NGO can be conceived of having its own habitus[44] and that for accountability to be enhanced, organisations must examine in particular how decisions are made within the organisation. Within the inquiry, it is arguable that despite an awareness of the complexities of participation and an explicit commitment to higher forms of participation, implementation of PIP did not alter the organisational habitus. One example of where habitus triumphed over participation is highlighted in an incident in which the funds raised by PIP group members were automatically distributed to staff members despite a prior agreement with the group members. This event resulted in some tension and confusion. However, it became apparent that there had been no overt decision in regards to this matter; rather it was the case that the finance department followed normal procedures which were not designed with participatory approaches in mind. Lukes argues that the bias in a system is not sustained simply by a series of individually chosen acts, but by 'the socially constructed and culturally patterned behaviour of groups, and practices in institutions, which may indeed be manifested by individuals' inaction' (Lukes, 1974:22). Whilst this represents just one example, within one case study, it is apparent that when adopting participatory approaches, all 'normal' system of management, administration and finance in an NGO may require further reflection in regards to whether they inadvertently cause exclusion.

POWER THROUGH NON-ENGAGEMENT

Throughout the inquiry, many accountability actors cited the power of the donors: 'These donors come in for one day and they think they know everything from just visiting one project. They should get to know us and when they give money, they should give us a chance first, instead of asking for these high things' (FE-GM: Jun, 2012). The *visible power* they exerted was viewed in the form of ***resource power***; through funding requirements defined in proposal guidelines the NGO and PIP,

[44] Habitus: refers to a socially generated process which informs our subjective 'disposition to think, value, feel and act in a certain manner within any particular field' (Eyben, 2008:23). It is argued that habitus is a form of power which sustains a recognisable pattern over time, explaining why events repeat themselves.

group members were positioned as automatically being less powerful. Drawing from Bourdieu's concept of capital, Ebrahim asserts that whilst flow of financial resources from funders to NGOs is a pivotal part of their relationship, 'reputation, prestige and flows of information are equally crucial elements of their exchanges' (Ebrahim, 2003c:18). Although the aforementioned Paris Declaration highlights the donors' accountability obligations to NGOs and local communities, it is evident that the donors maintained a huge amount of social capital. They were able to use this capital to exert an *invisible power*; until engaging in the PIP groups, many members never questioned the status quo. However, as the group members started to realise how the NGOs attained funding the group members became increasingly critical of the donors' power. As a result, of this, the PIP group members increasingly asked if it was possible to speak to the donors; they wanted to share their work and to tell the donors that they thought that their funding applications were unfair. However, from all the accountability actors engaged to the NGO UYDEL, it was the donors who had the least direct involvement. The donors all explicitly supported participation but found the request of the PIP group members unusual. They [PIP group members] said that they wanted to be able to tell the donors when they are doing something wrong. I have been trying to get hold of a donor for the young people to pass these comments onto, but keep on hearing 'that's just not how things work' (DE-S: Jun, 2013).

Participation was usually undertaken, when they wanted it, on a subject and time that they decide. There were not systems in place which were able to accommodate the PIP group members to engage with the donor, as a result PIP failed to ever bring the PIP group members and donors together. Lukes argues against a two-dimensional view of power, which supposes that 'if the observer can see no grievances, then they have no interests that are harmed by the use of power' (Lukes, 1974:24). The donors never explicitly inhibited participation, but it is argued that they exerted power through their ability not to engage. Whilst the donor had the power to choose not to engage, this power did not work both ways. For example, the Masooli workshops emerged from numerous weeks of work by the PIP group members; it was important to the PIP group members to have the opportunity to present their work to the UYDEL managers. However, the day's success was marred as the UYDEL managers missed PIP Kawempe's presentations as one of their donors had made a last minute request for information. If power asymmetries were not evident the NGO could have honoured the PIP group members' prior commitment. However, as the donor had *resource power* their demands were considered a priority; it is possible that the donor was not even aware of the impact their request had upon a less powerful accountability actor. Whilst the donor demonstrated its ability not to engage, UYDEL did not possess this power.

LIBERAL EMPOWERMENT

As discussed in the methodology, PIP the practice model explicitly sought to empower UYDEL's beneficiaries as accountability actors. However, as Batliwala highlights, of 'all the buzzwords that have entered the development lexicon in the past 30 years, empowerment is probably the most widely used and abused' (2007:557). Oxaal and Baden, highlight that 'Understandings of power and empowerment come from very different movements and traditions' (Sardenberg, 2008:19). Within this inquiry, it is evident that the PIP facilitators adopted distinct approaches to empowerment, and furthermore, that their focus and approach appeared to shift as the inquiry progressed.

LIBERAL EMPOWERMENT

Whilst the data suggests that the PIP facilitators adopted more than one approach to empowerment, it is evident that the original design had a strong emphasis upon what may be regarded as a *liberal approach*. ***Liberal empowerment*** is a term utilised to describe where empowerment approaches are informed by a ***zero-sum*** conceptualisation of power. As Hur explains, traditionally power was 'understood as an isolated entity and a zero sum, as it is usually possessed at the expense of others' (Hur, 2006). This approach to empowerment relates to a ***fixed*** concept of power. By protecting and creating positions and spaces, individuals are supported to occupy positions of power. Effectively power is removed from one individual or group and awarded to another. As highlighted by Mosedale (2005), this type of approach previously underscored gender empowerment approaches in the field of international development[45]. For many years, it was envisioned that women's empowerment could be accomplished by a focus on physical needs, employment and quotas to protect spaces for women's participation. At their heart liberal approaches to empowerment articulate a belief that empowerment should be tangible and quantifiable; as such empowerment is often measured through enumerating participation or representation. *Liberal approaches* to empowerment can be viewed as ***instrumental*** as empowerment is primarily viewed as a means to achieving secondary outcomes, such as improved well-being or levels of literacy.

As highlighted in the narrative of events, the primary purpose of the practice model was to enhance NGO accountability not to empower individuals; as empowerment was secondary to accountability,

[45] *Referred to as Women in Development (WID) Mosedale asserts that in the 1970s when women's empowerment was first invoked by Third World feminist and women's organizations, 'it was explicitly used to frame and facilitate the struggle for social justice and women's equality through a transformation of economic, social and political structures at national and international levels' (Bisnath and Elson cited in Mosedale 2005:247)*

one might argue that empowerment was regarded in an instrumental manner. A further indication of a *liberal approach* is evident in the way that PIP facilitators tried to create and protect spaces for participation.

SPACES FOR PARTICIPATION

The term space is used not only to refer to the physical space that was created by the PIP facilitators but to the conceptual and decision-making space for participation to occur. Gaventa (2004) discusses power in relation to participatory spaces; he describes space as the different arenas in which decision making occurs. It is argued that spaces for participation are not power neutral. Building upon the work of Lefebvre (1991) and Cornwall (2002) Gaventa (2004) highlights that space can be conceptualised as ***closed spaces*** which are controlled by an elite group, ***invited spaces*** where participation spaces are created for less powerful actors to participate within defined parameters, and ***claimed spaces*** where less powerful actors have the chance to develop their agendas and create solidarity without control from power holders.

Applying this conceptual framework, it is evident that PIP the practice model was an attempt to transform *closed spaces* into *invited spaces*. By implementing the PIP group sessions, UYDEL's beneficiaries were invited to participate much more widely in all aspects of delivery and to engage with NGO accountability. UYDEL's beneficiaries were empowered in regards to their role as accountability stakeholders, but this power was awarded. UYDEL's beneficiaries did not initiate the process, and boundaries of participation were evident. UYDEL and I chose to site the inquiry within Makindye and Kawempe divisions of Kampala; I and the local facilitators decided to limit PIP groups to ten members. Furthermore, whilst UYDEL's beneficiaries were asked how to choose group members, overall parameters of engagement remained within the control of more powerful actors. Mullender et al. (2013) highlight that '*closed membership'* imposed by practitioners, can be disempowering. As noted by Kothari 'the very act of inclusion, of being drawn as a participant, can symbolize an exercise of power and control over an individual' (Kothari, 2001:142). Effectively power was bestowed upon the PIP group members, as they were invited by facilitators and the NGO to participate in a space which was pre-defined by more powerful actors.

It is noted that the act of choosing to engage with '*slum-dwelling youth*' could be viewed as an articulation of power as the act of labelling can serve to reinforce preconceptions and stereotypes. Language is imbued with power connotations and inferred; as Smith highlights, 'language incorporates implicit assumptions and judgements which may have adverse consequences for those it purports to describe' (Smith, 2008:8). From the outset, those involved in the inquiry utilised

the term slum, but particularly in Kawempe, the young people noted the negative stereotypes they encountered from being from the slums. By predefining group membership based upon a label such as 'slum-dwelling youth' UYDEL and I had adopted the terminology which marginalised those involved. It is also noted that limiting work to certain specified groups can also cause tensions within communities, especially where individuals are excluded from accessing services where they do not fit within the pre-defined parameters; it is noted that 'when agencies focus exclusively on a particular, often marginalized, group, they may increase tensions by appearing to favour them' (CDA, 2004:22).

In *rights-based* NGOs, it is argued that the need to predefine areas of need can undermine the organisational values of accountability and the NGO's internal accountability. As Nyamu-Musembi and Cornwall highlight, 'finite financial resources demand the establishment of priorities, which in turn undermine the principle of indivisibility, and highlight the dilemma of dealing with competing rights' (2004a:6). However, whilst it is arguable that the very act of selecting slum-dwelling youth and the act of initiating the PIP group sessions may be considered an expression of power, it is also important to note that NGOs have to start somewhere. Accountability is also about ensuring that resources are utilised responsibly; as no NGO has unlimited resources they must pre-define some parameters.

Chambers (1997) utilises the term ***convening power*** to highlight how those who convene groups are effectively demonstrating a type of power. In this inquiry it is noted that I not only chose to work with young people in Kawempe and Makindye, but that I had the power to actualise sessions; I had the power to convene PIP group sessions. Because NGOs retain the power to convene, relationships inevitably start from an unequal footing as the NGO maintains the power to convene and decides who to participate with. However, it is argued that by being more transparent and honest in regards to convening power, accountability may be enhanced.

WITHDRAWAL OF POWER

Liberal empowerment requires the use of '*power over*' to create spaces for participation. Adopting a zero sum conceptualisation of power, the functional power from one individual is removed and bestowed upon another. However, when power is awarded, it can also be taken away. Whilst there were very few incidents that occurred, there were occasions where the PIP facilitators and UYDEL removed the PIP group members' power to control and to decide on action. An example of this pertains to an incident where the PIP group members wished to continue with their survey during the Ebola breakout. In July 2012, unexpectedly to everyone, there was the first of two Ebola[46] outbreaks in Uganda throughout the duration of the inquiry. In response to the outbreak, the government initiated a public information campaign and additional safety protocols were implemented within the youth-led action research. Eventually, the youth-led survey in Kawempe was halted as the Ebola outbreak had begun to escalate at this time. Against the PIP group members' wishes UYDEL and the PIP, facilitators decided to stop activities as a precautionary measure. Effectively, by withdrawing and controlling the PIP group members' right to decide, the PIP facilitators and UYDEL were exerting their '*power over*' the group and their decisions.

My commitment to ethical research and the values of social work meant that I felt I had a responsibility to intervene where I considered the well-being of those involved in the inquiry may be jeopardised. However, when undertaking participatory work, there can be a fine line between ethical practice and paternalism. Defined by Dworkin, paternalism refers to where removal of 'a person's liberty of action is justified by reasons referring exclusively to the welfare, good, happiness, needs, interests, or values of the person being coerced' (Dworkin cited in Calder, 1995:749). Defenders of paternalism view the approach as a form of assistance rather than a violation of rights, as they 'argue paternalism is justified where children are concerned as they have not attained the capacity to make an informed decision' (Abramson Cited in Calder, 1999:750). However, the concept of risk is subjective. Within the inquiry, it became apparent that the PIP facilitators found it difficult to assess when their concern was reasonable and when their concern was excessive. 'This isn't entirely participatory, but the girls have a much higher threshold of acceptable risk than me because their normal day-to-day lives are so dangerous' (MR-S: July, 2012).

When undertaking participatory work in challenging environments, practitioners and researchers may feel a greater need to intervene to protect the young people involved. However, it is also

46 'Ebola haemorrhagic fever (EHF) is infamous for its high case-fatality proportion (CFP) and the ease with which it spreads among contacts of the diseased' Borchert et al. (2011)

argued that the concept that children and young people need to be more intensely protected in complex and challenging environments is, in fact, an oxymoron. As highlighted by Hart, in challenging environments such as conflict-affected environments, 'children are commonly obliged to take on additional responsibilities as caregivers, breadwinners and as providers of emotional support, even to adults' (Hart and Tyrer, 2006:8); thus to treat them in a paternalistic manner which does not respect their adult responsibilities can be viewed as patronising. Within this complex environment the PIP group members were regularly exposed to hazards on a day-to-day basis, so to create a protective bubble around a small part of their lives appears illogical. Over the period I worked within the slum areas I generally felt safe, however, I always ensured that I left before dark; I knew that many of the PIP group members lived constantly with a very real risk of harm. The young people expressed this concern themselves, as safeguards were put in place to protect them whilst conducting their research, yet at the end of sessions, the young people would return to the same communities without any such safeguards. Arguably, it is more ethically sound to focus on protecting a young person's right to participate in issues that affect their life, than to be excessively concerned regarding what constitutes a small part of an individual's life, as participation may offer an opportunity to reduce the overall harm they are exposed to. By creating artificial bubbles of safety, which prohibits participation but does not alter the lives of those involved in an effective and relevant manner, it is argued that harm can actually be caused. Lansdown asserts that erring too far on the side of protection denies children 'the right to be heard, inhibits opportunities to develop their capacities for participation and, indeed, can serve, perversely, to heighten risk' (Lansdown, 2009:18).

The data clearly highlighted that no matter how substantial or comprehensive any ethical guidelines are if they are imposed by an external actor they are unlikely to attain buy-in from those involved. The initial ethics protocols were viewed as highly restrictive by the PIP group members; as a result, the PIP group members largely chose not to adhere to them. Upon recognising this, the PIP facilitators changed approach and became more consultative. As Shier (2010) highlights, there are at least two ways to safeguard young participants; one approach is to attempt to remove the child from situations of risk, 'the other is to educate and empower them so that they can understand and assess the risks of everyday life and take action, individually and collectively, to protect themselves' (Shier, 2010:33). The study highlighted that throughout the inquiry the PIP facilitators appeared to move from the former to the latter position.

In Makindye, the PIP group members become involved in developing ethical guidance, shown in ***Appendix F6.*** A decision was taken that one young person would be elected as an ethics and quality

monitor by the PIP group members. Feedback from the facilitators and PIP group members suggests that this decision was highly successful and popular with the PIP group members. '[PIP group member] in her new ethics role was fantastic. I thought she did really well and took the role very seriously' (SE-PF: Oct 2012). Furthermore, it was recognised that it was often the PIP group members who guided the PIP facilitators in understanding the risks and complexity of the area that they lived in. 'When interviewing [PIP group member] came to find me. She told me that […] other community members had warned her that the group was 'not good' and that I was not safe. I was likely to be robbed' (SE-PF: Oct 2012). A final point to note is that the inquiry did not produce hard and fast rules, regarding the boundaries of safe participation; instead, practitioners decided to respond to ethical challenges by enhancing consultative and reflective processes.

LIBERATING EMPOWERMENT: POWER TO

It is evident that some elements of the implementation and design of PIP the practice model may be considered evidence of a liberal empowerment approach. However, there is also evidence of what may be regarded as liberating empowerment. ***Liberating empowerment*** is a term utilised by authors such as Sardenberg (2009) to define approaches which exhibit an intrinsic, as opposed to the instrumental, approach to empowerment. *Liberating approaches* view empowerment as a goal in its own right, rather than a means to achieving secondary outcomes. Furthermore, in contrast to liberal empowerment approaches, a focus on critical awareness and individual agency takes centre stage. As Mosedale (1998) highlights, the central issue of empowerment is regarded as one of process. *Liberating approaches* to empowerment utilise different *'expressions of power'* instead of a zero sum conceptualisation of power: where empowerment requires the opening up of spaces by more powerful actors, *liberating approaches* highlight the importance of *'power to', 'power with'* and *'power within'*.

POWER TO

The term ***'power to',*** is similar to the concept of agency as it refers to 'people's capacity to define their own life-choices and to pursue their own goals, even in the face of opposition' (Kabeer, 1999:438). It is argued that one means of supporting empowerment are to support individuals to acquire power by developing their skills and capacities. Cronin and O'Reagan highlight how empowerment has come to be regarded in the broader political sense in terms of capacity building (2002:17). The original design of PIP the practice model reflected an intention to build the capacity of the individuals involved by supporting them to undertake research and to engage with the NGO in regards to accountability. It is evident that various activities were incorporated into the original design to support the development of the PIP group members' *power to*. Each PIP group received research training which taught the young people about ontology, methodology, methods, tool design, analysis and ethics. Session activities can be viewed in ***Appendix L.*** The model sought to facilitate the highest level of participation, in every aspect of the research process.

In addition, to research skills, the PIP facilitators also attempted to increase the group members' power by teaching, rather than manoeuvring around, the language used by NGOs and donors. Whilst there was an explicit attempt to understand terminology on the young person's own terms, there was also an explicit attempt to teach the PIP group members the language of the powerful. Furthermore, as highlighted by ***Appendix L,*** PIP facilitators attempted to teach the PIP group members about the inner workings of NGOs and how they received funding. It is argued that 'People

must be let into the professional 'secrets' about possible types of action and where the resources might come from to make them possible' (Mullender *et al.*, 2013:54). The PIP group members' involvement in the application process and writing of proposals helped them to appreciate the work of UYDEL and to understand much better where project resources came from. 'The young people seem to now understand what UYDEL has to go through to get funding' (SE-PF: Jul, 2012). Furthermore, the PIP facilitators noted that this honesty seemed to affect the power dynamic between the PIP group members, PIP facilitators and UYDEL. Rather than a need-induced relationship, the PIP group members were viewed more as equals and colleagues.

ACCESS TO RESOURCES

Whilst research training and support were encompassed within the original design, it is also evident that the scale of capacity building increased throughout the inquiry. It is noted that many initiatives which support *power to* were instigated by the suggestions of actions of the PIP group members. As highlighted previously, in the initial engagement sessions UYDEL's beneficiaries expressed that they wanted to support with learning English and computer skills, as part of the inquiry's commitment to beneficence. However, as the inquiry progressed, the PIP group members became increasingly vocal regarding their assertion that PIP sessions should include more capacity building. In the early stages of inquiry the PIP facilitators primarily utilised the group members' own knowledge and experience to explore issues. However, after some time, the PIP facilitators started to note that the PIP group members were requesting information. They stated that they wanted to learn but could not afford to read newspapers or to buy books. 'The young people said that they enjoyed having the opportunity to read the articles on crime and insecurity. It should be noted that these young people lack the opportunity to read as they are not in school and do not have the available financial resources to be able to purchase books or newspapers' (SS-S: 2012). As a result, of these conversations the PIP, facilitators changed activities to incorporate an analysis of new resources. For example, the '*participatory lit review*' activity highlighted in ***Appendix L*** introduced and critically discussed written resources on the group's subject of concern. For many group members this activity represented one of the first times that they were able to read externally produced information regarding their community; a factor which highlighted that, without the finances to travel outside of the slums to purchase newspapers or watch TV, the PIP group members rarely experienced views from outside their own locality despite being situated within the capital city. Freire believed that illiterate people possessed a culture of silence and that education 'could motivate the poor to question and build new liberating structures and processes for change' (Lewis, 2007:51). However, whilst Freire argued for a radical reconceptualization of the education system, Dewey asserted that

individuals could be empowered by learning the tools and skills of the powerful so that the status quo could be challenged from within. He argued that 'education should not be a 'privileged' option, but a societal imperative for all individuals' (Shyman, 2011:1037). It is argued that unless the individuals are empowered to engage with the knowledge systems of the most powerful, then they will continue to be marginalised. Arguably, the lack of access to knowledge and information that the PIP group members experienced is in itself a form of inequality and oppression. Participatory approaches are often designed to be accessible by utilising non-literary based inquiry methods, but this may perpetuate inequality they seek to absolve.

During the mid-term evaluations, the PIP group members were asked about the learning and facilitation style they preferred. Overwhelmingly, the response received was that whilst they increasingly enjoyed facilitating activities themselves they still wanted the sessions to include aspects of formal teaching. In regards to NGO accountability, it is important to note that attempts to enhance *downward accountability* through participation may be based upon false assumptions regarding the best style and means to enhance equality. It should be considered whether beneficiaries and communities wish to engage through accessible non-literary methods or if they would prefer to enhance their '*power to*' engage in NGO accountability through formal training and teaching. Furthermore, the inquiry raises the question whether participatory approaches within accountability systems are actually perpetuating inequality, as more powerful stakeholders will not accept the significance or value of non-traditional approaches.

HIDDEN COMMUNITIES AND PROBLEMS

The original design of PIP the practice model recognised that in regards to participatory research, often 'powerful project actors shape and dominate what should be discussed, recorded censored or highlighted in these sessions' (Mosse cited in Bowd *et al.*, 2010:7). In order to address this issue, authentic participation was encouraged and the PIP group members were enabled to undertake inquiry upon a subject completely of their choice. In recent years, there has been growing recognition of the challenges presented in undertaking urban research. Authors such as Patel and Burke assert that 'improved systems for collecting data in slums are urgently needed' (Patel and Burke, 2009:742). As the previous section notes, the context in which the inquiry took place was extremely complex and this appeared to limit the availability of research. It is argued that this complexity can serve to mask poverty within the urban environment; as UNICEF highlights, 'for billions of people, the urban experience is one of poverty and exclusion. Yet standard data collection and analysis fail to capture the full extent of both problems' (UNICEF, 2012:6).

The 'urban advantage' is a term often used in the context of development to describe the comparable affluence and wellbeing encountered by those living in urban areas. However, whilst in general, those living in cities fare better than those living in rural areas it is argued that most methodologies fail to recognise the scale of inequality in slum areas. One proposed reason for this is that quantitative indicators fail to identify poverty in urban areas. Single indices such as a number of doctors per 100 persons or average distance to water fail to recognise that 'physical proximity to a service does not guarantee access' (UNICEF, 2012:3). In contrast to rural areas where water is usually free, in urban areas 'most public water points are privately owned and access to water points is paid for (82.3 per cent)' (UN-HABITAT, 2012:25). Composite indicators, such as the widely used Human Development Index[47] (HDI), hide inequality due to a lack of sensitivity; extreme poverty found in cities such as Kampala is masked by the city's relative wealth. In regards to NGO accountability, this means that the data upon which many NGOs design their programming may be flawed.

In addition, to flawed indicators, it is also noted that much research misses slum dwelling communities completely due to challenges with sampling and access. The slums are defined by the insecure residential status of those who live within them. Whilst Kampala's collective wealth is greater than any other region of the country, however, as UNICEF (2012) highlights, research undertaken within urban contexts often overlooks residents of a city whose homes and work are unofficial or unregistered. Thus, those most likely to be poor or suffer discrimination are in fact excluded from most official statistics; statistically slum dwellers are effectively '*hidden communities*'. Furthermore, as those who migrate to the slums of Kampala may well be individuals fleeing conflict from the north of Uganda or from neighbouring countries and seeking anonymity, individuals may choose to live in slum areas as they are unable or unwilling to register their new presence in Kampala. As highlighted by the Red Cross, 'one of the most important characteristics of urban areas is that vulnerable people are difficult to identify, or may not want to be identified' (BRC, 2012:23). Edwards (1993) questions the assumption that Southern NGOs effectively hear and represent the authentic voices of the poor as they tend to neglect the most isolated areas.

NEW INSIGHTS

Sommers (2010) is among several who highlight the dangers of utilising data from urban environments as young people living in slum areas face unique challenges that may not be

[47] HDI is a compilation of what is considered to be the major dimensions of human development: longevity, knowledge and access to resources; this composite indicator equates life expectancy at birth, educational achievement based on a weighted sum of adult literacy rate and real per capita income into a single HDI ranking (Noorbakhsh, 1998)

representative of the rest of the city; he asserts that 'accessing youth views and needs through mainstream civil society invites serious distortion' (Sommers, 2010:329). The youth-led action research was able to negotiate the complexity of the urban environment to provide highly context-sensitive data pertaining to local need.

By supporting the PIP group members' capacity and '*power to*' engage in research, the PIP groups were able to redefine a research profile that hid the needs of their community. As highlighted by one UYDEL manager, the young people's research managed to bring new issues into the sight of NGOs and donors. In highlighting that 97% of people living in slum areas had experienced crime in the past year, typical stereotypes of young people being the perpetrators rather than the victims of crime were challenged. Traditionally it was considered that those who were more economically advantaged were more prone to crime, yet the young peoples' findings echo emergent research from slum areas elsewhere, which notes that slum dwellers are, in fact, 'more vulnerable to violence and crime by virtue of the exclusion of slums from preventive public programmes and processes, including policing' (UN-HABITAT2003:xxviii). As Chiu and Madden highlight, 'local economic welfare may also be associated with the level of protection from crime. Private crime protection measures may include guard dogs, bars on windows, electric fences, and alarm systems with armed security response' (cited in Demombynes and Özlerb, 2005). As highlighted in the Makindye crime report, ***Appendix I10,*** the inquiry was also able to distinguish that individuals living in slum areas regard certain crimes as more acceptable than others, and that individuals tend to utilise the police, traditional leaders, elected leaders or mob justice dependent on the type of crime committed - information that may inform training and resource decisions. To date, as far as I am aware this is the most detailed research which exists in regards to crime within Kampala's slum areas.

STRENGTHENED RELATIONSHIPS

Supporting the PIP group members to engage in a collaborative research process did more than offer new insights into issues, it helped to develop relationships and to erode power inequality. Gerth and Mills (1954) highlight that 'power depends at least in part on the relationship between individuals' (cited in Smith, 2008:19). The data suggests that power inequalities were most significantly challenged through the personal relationships that developed. The process of negotiated ethics was created to safeguard the young people involved. But, the relationship building that took place as part of the negotiated ethics and the young people's training in knowing how to deal with public officials, gave the young people confidence and ability to safely engage with local leaders. Throughout the evaluation visit, the young people highlighted the benefit of having personal

communication with certain key persons. Some individuals had, in effect, become focal persons and a link to their local communities. The PIP group members through the process started to build relationships with local leaders. During the evaluation visit members reported that they were utilising their new found confidence and relationships that they had built in PIP to address issues for themselves and other community members. The participatory process of negotiating ethics gave ownership to all those involved and helped to develop positive relationships between different accountability actors. As highlighted previously, whilst many of the actors involved had fears and concerns about other actors, there was very sparse direct contact. The process of collaboration offered actors the opportunity to highlight and discuss their fears. It also supported relationship development and trust between accountability actors. As highlighted by Israel and Hay, 'ethical behaviour may help assure a climate of trust in which we continue our socially useful labours' (Israel and Hay, 2006:3).

LIBERATING EMPOWERMENT: POWER WITH

POWER WITH

In addition, to supporting the PIP group member's skills and capacity development, it is evident that the PIP facilitators and the PIP group members increasingly became aware of the importance of developing collective agency; ***power with***. Veneklasen and Miller highlight that ***power with*** is related to 'finding common ground among different interests and building collective strength (Veneklasen and Miller, 2002:3). Within a liberating empowerment approach, *power with* is viewed as a process where the whole becomes more than the sum of its parts; as with solidarity and collaboration, it is argued that individual power multiples. Whilst it was recognised that every individual had different, but equally valuable, skills, capacities and experience, it was noted that some individuals struggled more with group work than others. The PIP facilitators believed that in some cases a lack of exposure to formal education or employment might have affected an individual's ability to work as a team. As Fleming and Ward highlight, facilitators will 'require the skills to work with people who have had little or no experience of working collectively' (Fleming and Ward, 2013:54). It was noted that particularly at the early stages of the inquiry, interpersonal conflict emerged within the group. The PIP facilitators quickly realised that they had to adapt each session to the specific needs of each group. It was not possible to run activities in parallel across sites because each group was confronted with unique challenges; activities that were suitable for one group were often not suitable for the other. Within weeks of beginning implementation, the groups started to move at their own pace. Activities were tailored for each group. Because PIP was not a project with pre-determined timelines, PIP facilitators were able to speed up or slow down as and when it was needed by the group.

Not only did each group move at its own rate, but it was noted that external and emergent events could impact upon the group. PIP facilitators decided that it was important to respond to the needs of the group as they emerged. They sometimes had to make immediate decisions to respond to emergent issues and to focus upon team dynamics. For example, when inter-group conflict emerged the PIP facilitators tried to encourage group work at times when conflict and tensions emerged. A decision was made by the PIP facilitators not to intervene directly, but where possible to support the group to develop its own capacity to respond to conflict. As conflict emerged, session activities were halted to respond to the emergent conflict as it arose. On occasion, activities were adapted on-the-spot to support the group to reunite as a team following a dispute. For example, the common woman activity, described in ***Appendix L,*** was originally designed as an activity for two teams but

was changed to a collective activity in order to promote solidarity among group members. The PIP group members were encouraged to resolve issues themselves and to define rules for the group. As noted by Fleming, 'Social action is about self-direction, so it is important for a group to create their own guidance for their working together in a training session' (Fleming, 2004:33). ***Appendix I1*** highlights the PIP Kawempe's rules and guidance on how to resolve conflict, which was typed by the group.

Each PIP group was asked to undertake the design a logo for their group. These logos, which are shown in ***Appendix K,*** were subsequently printed onto t-shirts, ID cards and newsletters. It became an important part of each group's identity. This activity is just one example of how throughout the inquiry, attempts were made to build a collective identity and to recognise that many of the challenges that individuals faced were also experienced by other group members. Mullender *et al.* highlight how injustice and oppression are complex issues rooted in social policy, the environment and the economy. They state that 'self-directed group workers understand that people may experience problems but these difficulties can be translated into common concerns' (Mullender *et al.*, 2013:95). The River of Experience activity undertaken in Kawempe, described in ***Appendix L,*** asked the PIP group members to draw their life history; the activity was not only intended to explore the issue of poverty but sought to help group members recognise common experience. During the follow-up stage, several individuals stated it was their favourite activity.

Mullender and Ward highlight that it is important for individuals to recognise that expressions such as hostility or self-blame, can in fact 'represent a misdirecting of anger which could more fruitfully be focused on the actual source of their oppression' (Mullender and Ward, 1991b:41). As the inquiry progressed it was noted that rather than being hostile towards each other, the PIP group members increasingly demonstrated solidarity and support of each other whilst becoming more critical of the root causes of the challenges they faced.

CLAIMED SPACES

Whilst capacity building was discussed in the last section, it is important to note that not all capacity building activities were initiated by the PIP facilitators. Particularly in Kawempe, it was noted that the PIP group utilised peer-to-peer teaching. The first instance of peer-to-peer teaching emerged as the PIP groups prepared their presentations for the Masooli workshop. At a later stage, again in Kawempe, peer-to-peer teaching was utilised to ensure all group members could understand the tools in use. One example highlights how peers taught each other English; one individual who had never attended school was offered extra English lessons by another PIP group member. This activity

enabled her to be able to read and deliver the youth-led survey with minimal support. In Makindye, the PIP group members began delivering PIP group sessions themselves. When they did this they decided that they wanted to retain the English lesson at the end of each session. As a result, the young people with the strongest levels of English in the group offered to deliver tuition to the other members. The peer-to-peer support was viewed by the facilitators as demonstrating the PIP group members' commitment to the process and to the enhanced teamwork and solidarity shared by the group; it also may be viewed as evidence that the PIP group members' *'power with'* had developed.

As discussed previously, PIP was not initiated by a community or collective group - the original space for participation was invited. However, as a *power with* developed and the groups became more cohesive, it became apparent that the space that was once invited had become claimed by the group. Whilst the group members had no ability to control the physical space in which they met, due to lack of resources, the PIP group members' use of the resource box[48], which was owned by the group, to hold and convene meetings, further demonstrates the increased ability for the group members to take spaces for participation.

Whilst the facilitators carefully considered the use of space in the rooms used for sessions, they underestimated the importance of temporally situated space. The PIP groups' use of the '*resource box'* highlights this phenomenon. It was purchased by the facilitators for the functional purpose of keeping the PIP group members' work and resources safe. Rather than the PIP facilitators keeping keys, a decision was made to give the PIP group members the responsibility of becoming key holders. As the inquiry progressed the function of the resource box evolved and it was used to keep safe the group members' work, photographs, savings and their certificates. As the PIP group members started to use the boxes to keep items they deemed valuable, the PIP facilitators started to note that the box appeared to be important and symbolic for the group members. The resource boxes being taken out marked the start of a PIP session, and the PIP group members would take out the box themselves when they independently wanted to hold a meeting. For many individuals, it was also recognised that in their flood-prone insecure place of residence, the resource box was the safest place that they had to store items. A decision was also made by the group to keep photos of the young person who died so that group members could look at them whenever they wanted. Whilst the rooms hired for PIP were borrowed space, the resource boxes belonged to the groups, they were theirs.

[48] As noted in the narrative of events at the start of the inquiry each PIP group was given their own large metal resource box which contained, among other items, registers, pens, markers, flip chart papers, a petty cash tin and the group members' note books.

Power with is a term to define the collective power of a group. As discussed, throughout the inquiry it is evident that the PIP groups became more aware of the impact of collective power, but it is also important to note that it was often the PIP group members who sought to enhance this type of power. For example, at an early stage of the inquiry, it was the PIP group members who requested that the two PIP groups should be brought together and that other young people should be engaged. This request resulted in the Masooli workshop which appeared to create a sense of solidarity between the two groups. The original design of PIP had much less focus on the importance of developing teamwork skills, but through the process of reflective practice, the PIP facilitators came to view this as an important component of the design. During the impact evaluation, learning how to work as a team was frequently mentioned by the young people as a positive outcome of the process. In the newsletter which the PIP group members created, highlighted in ***Appendix I13,*** one PIP group wrote 'We succeeded in working as a team and we also succeeded in carrying out our research' (D-GW: 2012).

LIBERATING EMPOWERMENT: POWER WITHIN

POWER WITHIN

Empowerment is generally regarded as something which cannot be given or awarded; many believe that you can only ever empower yourself. As highlighted by Mosedale, it is generally considered that 'empowerment cannot be bestowed by a third party. Rather those who would become empowered must claim it' (Mosedale, 2005:244). This concept is in stark contrast to the zero sum conceptualisation of power expressed with a *liberal approach*, where one person's ability to acquire power is often dependent upon positions of power being created or protected. Mulwa states that 'empowerment can be conceptualised as a process of enabling people to gain strength, confidence and vision to work for positive changes in their lives' (Mulwa, 2008:114). This ability to define one's goals and act upon them is sometimes described as individual agency or ***power within***.

During the inquiry, all actors involved noted a change in the PIP group members. It was noted that they appeared more confident and had a greater sense of self-belief. '[PIP facilitator] said that you could now see the difference between the PIP girls and the other girls. They have more confidence and even they think that they are different' (DE-S: Sep, 2012). Arguably this change is evidence that individuals' *'power within'* was enhanced. However, it is important to note how this change was fostered. The PIP facilitators, upon recognising that self-esteem and a lack of confidence might be an inhibiting factor to group work, undertook several activities to support the PIP group members in recognising their abilities and achievements. The poster activity, for example, highlighted in ***appendix L*** asked participants to present things about themselves that they were proud of. Within this activity, the PIP group members were encouraged to think broadly about their achievements as a parent, community member and to recognise overcoming of challenges and personal qualities. The PIP facilitators also identified that it was important to regularly ask the PIP group members to reflect upon progress as a group. As such, many activities brought attention to the group's journey of accomplishment. One example of this is highlighted in ***Appendix L*** where PIP group members in Kawempe were asked to identify good things that had happened upon a timeline of the group's actions. The PIP facilitators also took practical action such as providing t-shirts and ID cards, after the group expressed a concern that, when doing the youth-led survey, their age and appearance might lead the community not to take them seriously. To enhance the PIP group members' confidence before going out to the community, the group members role-played potential scenarios so they knew how to respond.

INTERNAL OPPRESSION

Whilst the actions above were viewed as supportive, Kabeer asserts that the notion of empowerment is inescapably bound up with the notion of disempowerment (Kabeer, 1999:437). The PIP facilitators recognised that an important part of empowerment was to encourage the PIP group members to reflect upon how 'oppression can be understood both as a state of affairs in which life chances are constructed, and the process by which this state of affairs is created and maintained'(Mullender *et al.*, 2013:25). It is argued that power can create a false consciousness which 'shapes people's beliefs, sense of self and acceptance of the status quo' (Gaventa, 2006:29). Lukes (1974) refers to *invisible power* as the most insidious form of power as its nature can inhibit recognition and challenges to inequality. The concept of ***internal oppression*** highlights a subtle articulation of *invisible power* in which individuals perpetuate discriminatory / oppressive beliefs against themselves. As noted previously, throughout the inquiry the PIP group member's ability as a slum-dwelling youth was questioned. However, the PIP group members also questioned their own ability and right to be the leader of research rather than the subject of it. For example, the '*ask me a question'* activity described in **Appendix L** was intended to explore what questions UYDEL's beneficiaries might ask different actors if given the opportunity to control the research process. The results of this activity highlighted that the participants had many unanswered questions but also that it was the first time that many considered the possibility that they might have the right to ask questions too. It is argued by Rowlands (1998) that internal oppression 'may be enacted as a coping mechanism or because oppression is so well ingrained that it becomes mistaken for reality' (Rowlands, 1998:12).

CRITICAL AWARENESS

Thus, for authors such a Stromquist (1995), empowerment is viewed as a socio-political concept that includes cognitive, economic, political and psychological components (Stromquist cited in Mosedale, 2005). Freire believed that to be liberated from oppression, people need to acquire a critical awareness of the world in which they live and the structures that surround them' (Freire cited in Gomm and Davies, 2000:20). Informed by Social Action, the original design of PIP practice model incorporated critical activities to encourage those involved to question assumptions which were taken for granted. For example, the 'but why problem tree' activity highlighted in **Appendix L** combined Hinton and Young's (2009) problem tree analysis with Berdan *et al.* (2006) *'but why?'* activity. It was used to encourage group members to explore the root causes and effects of a problem. The question, *'but why?'* is subsequently used to encourage individuals to critically analyse structural inequality relating to issues such as gender, class and ethnicity. The process of youth-led

research undertaken by the PIP group members was also viewed as promoting critical reflexivity. Many action researchers, particularly those who aspire to emancipatory purposes, have premised their work upon Freire's (1974) concept of conscientisation. Selener is one such author who asserts that 'participatory research should initiate a dis-indoctrination of the oppressed from local knowledge which might have blindfolded the poor from critical consciousness' (Bowd *et al.*, 2010:8) The PIP group members' research may have led to research outcomes, available in **Appendix I8,** but it was also viewed as a means for the PIP group members to critically analyse issues which affected their lives. Learning was viewed as primarily for the purpose of learning for insiders, not outsiders.

Whilst there is evidence to suggest concepts of *power within* and the importance of critical awareness was incorporated into the original design, the data suggests that this aspect of empowerment was underestimated, both in regards to its importance and to the complexity of achieving such a task. Empowerment of the PIP group members was non-linear; confidence and ownership, which can be viewed as indicative of empowerment, progressed and regressed multiple times throughout the inquiry. A positive change could be unexpectedly followed by what the facilitators perceived as a step back. 'As part of the challenges faced by the [Kawempe] group, I can feel the group's enthusiasm waning […] The attitude seems to have really changed since then' (MR-S: Oct, 2012). The journey which each PIP group member embarked upon was unique to them and the path they took could be unpredictable. The data highlighted that on several occasions the facilitators felt the need to change their practice in order to support the PIP group members' emerging ownership; change did not always emerge as the facilitators imagined it would. This observation is echoed by authors such as Rowlands (1998) who asserts that, whilst a group may go through some similar experiences, empowerment also has personal dimensions unique to each individual involved.

***PIP** FACILITATORS AS CHANGE AGENTS*

When considering the issue of internal oppression, it becomes apparent that the PIP facilitators may have been needed in the role of ***change agents*** in order to instigate a questioning of the status quo. As Rowlands highlights, the role of the change agent in programmes is potentially a pivotal one. She states that 'the attitudes they bring to their work, and the form their work takes, can have an immense impact, positively or negatively, on the people, they work with' (Rowlands, 1998:26). However, this brings the issue of empowerment back full circle; if the development of *power within* requires a change agent, then it is arguable that a *liberal approach* to empowerment may be required as a trigger for change. If the PIP group members were subject to internal oppression which made them question their ability to ever initiate a group or engage in the subject of

accountability, it is arguable that an external actor would need to intervene in order to disturb the status quo. However, as highlighted by Kabeer, it can be challenging to identify between choice and internalised oppression. The PIP group members expressed a belief that it wasn't appropriate for young people to speak in certain contexts. This is a factor which may be representative of cultural norms and perceptions of young people which perpetuate inequality. It is noted that 'not all cultural practices, rooted in local beliefs and knowledge systems, are positive and emancipatory' (Ozerdem and Bowd, 2010:6). In order not to perpetuate power inequalities evident within culture and traditions it is argued that change agents will have to develop the capacity to focus on the empowerment and to be 'skilled enough to keep the process moving without getting 'hijacked' by the existing power dynamics' (Rowlands, 1998:29). One example of where this emerged as an issue was highlighted within the engagement sessions where UYDEL's beneficiaries decided that they wanted exclusion criteria for PIP group membership based on an individual's ability to read and write. When the PIP facilitators were placed in this position they decided to use their own '*power over*' to override this decision, so as to ensure equitable selection. The ability to decide when something is an authentic belief to be respected or a false consciousness to be challenged is in itself a manifestation of power. As such any change agent needs to recognise and to be critically reflective of the power they hold. Alongside *power over, power to, power with* and *power within*, Chambers argues that the fifth type of power should be central to our thinking and practice in development. The ***power to empower*** gives recognition to the power of change agents.

CHOOSING NOT TO CHOOSE AND MANIPULATION BY CONSENT

It may not be useful to distinguish between authentic or false consciousness. Doxa refers to traditions and beliefs which exist beyond discourse or argumentation. The idea of Doxa is helpful here because it shifts our attention away from the dichotomy between false and authentic consciousness to a concern with differing levels of reality and the practical and strategic interests to which they give rise (Kabeer, 1999:441). Rather than change agents concerning themselves with stimulating change which is in line with their own explicit values, there is an argument for focusing on empowerment as the ability to make choices. Kabeer proposes that one way of thinking about power is in terms of the ability to make choices: 'to be disempowered, therefore, implies to be denied choice' (Kabeer, 1999:437). As the inquiry progressed and as the PIP group members' confidence increased, it is evident that so did their ability to make choices. But these choices were not always in line with the original intentions of the practice model. For example, at a later stage, the PIP group members sometimes chose not to participate or chose that their language should be manipulated by facilitators, for the sake of impressing others.

The relationship between the PIP group members and facilitators changed throughout the duration of the inquiry. Arguably, at an early stage the inequality between actors was so great that the group members may have felt unable to say no to invitations to participate; but at a later stage the PIP group members began to protect their own space for participation and at times chose to relinquish their participation. Particularly as the Kawempe group was attempting to set up their business the PIP group members articulated that they did not want a more participatory approach, as they viewed that this took too long and they were keen for their business to be established as soon as possible. It is possible that this unwillingness may have been an articulation of internal oppression, but this could be viewed as patronising the PIP group members' ability to make an informed choice not to participate. It was the PIP facilitators who demonstrated the greatest concern over a desire of the PIP group members not to participate.

When writing proposals, there were also numerous examples of where the PIP group members pressured the PIP facilitators to take control away from them. Again this could be viewed as an articulation of internal oppression, which limited the PIP group members' ability to conceive that they were capable. However, the discussions that accompanied these decisions painted a different picture. It appears that the decision of how and when to give or take power was informed by a relationship of trust and honesty. 'There is a fundamental inseparability of accountability, transparency and trust' (Cornwall *et al.*, 2000:4). Whilst the relationship that had formed led the facilitators to feel guilty about occasions when they felt pushed to dominate work and decision making, it was this same relationship that led PIP group members to believe that the facilitators were working in their best interest. Because the PIP facilitators had focused upon the development of *power to*, the PIP group members were aware of how the NGO attained funding. They had been informed of professional secrets and were aware of what was required to attain funding. When the PIP group members applied for funding, successful completion required adherence to a tight framework which was not conducive to participation. I do not believe that the PIP group members' decision not to engage in some aspects of proposal writing was an indication of internal oppression; I believe it was a calculated and informed choice which also highlighted a relationship of trust.

In the final evaluations, the PIP group members repeatedly noted the importance of the NGO being honest with them**.** When the first funding proposals failed all the PIP facilitators were anxious about presenting the news to the PIP group members, as they had put a great deal of effort into the application. But rather than being angry that events may not be going their way, the PIP group members expressed gratitude for the facilitator's effort and honesty. It is argued that empowerment

requires trust between and among individuals. 'When trust is lacking, empowerment is difficult, if not impossible' (Cronin and O' Reagan, 2002:18).

GROUP MEMBERS AS CHANGE AGENTS

Whilst this study has drawn attention to the role of the PIP facilitators as change agents, Malone and Hartung highlight that there is increasing recognition of the role that children and young people can play as change agents. They state 'we believe it is important to acknowledge children as capable and competent' (Malone and Hartung, 2009:32). It is important to note that throughout the inquiry change was instigated by the PIP group members; whilst the PIP facilitators acted as change agents for the PIP group members, it is also recognised that the group members also instigated change. As discussed, the PIP group members highlighted the importance of capacity development, initiated their own peer-to-peer training, and originated the idea to save allowances, to change session location and to start their own business. They also emphasised the importance of collective action which led to the Masooli workshop which they organised and delivered.

The youth-led research was disseminated within a division planning meeting, two conferences and one fundraising event and a network forum meeting. However, the PIP group members were the primary instigators of extra activities and greatest advocates for wider participation. The data highlights that PIP group members repeatedly expressed a desire to engage more broadly. As a result of the groups' wishes, the PIP group members undertook six youth meetings and wrote 3 PIP group newsletters which are highlighted in **Appendix I13.** The group in Makindye also created a PIP notice board. The PIP group members also instigated several meetings with UYDEL managers as they wanted to act as a link between PIP group members in the area. **Appendix I14** highlights some of the information which was passed from UYDEL's beneficiaries to its managers via the PIP group. It is noted that these activities were not incorporated into the parameters of PIP's original design but were viewed as beneficial to the enhancement of accountability. Effectively, without utilising this specific terminology, the PIP group members were initiating meetings to aid the NGO's monitoring and evaluation, thus, highlighting that this aspect of accountability was important to them. These meetings were initiated and delivered completely independently by the PIP group members. It is noted that in Makindye, the PIP group members from the PIP groups asked to speak to the other PIP group members without the presence of PIP facilitators or UYDEL staff so that the PIP group members may speak to them more freely. The PIP newsletters proved to be useful in updating external stakeholders such as local councillors about the activities of the group. However, noting that most of UYDEL's beneficiaries could not read, the PIP group members asked for the newsletter

to be turned into a large poster. The poster would act as a focal point in a presentation and could be displayed at the UYDEL outreach post for those who wished to view it at a later time.

CO-EVOLUTION AND RELATIONSHIP DEVELOPMENT

Rowlands asserts that whilst some degree of personal development is required, empowerment must involve 'moving from insight to action' (Rowlands, 1997:15). As discussed, this inquiry managed to support the PIP group members to move from insights to action. PIP Kawempe utilised their collective power, increased confidence and capacity to establish a youth-led business. In Makindye, the PIP group managed claimed space for participation by holding meetings with local leaders to share their findings. However, whilst these represent very tangible impacts of empowerment, it is argued that it was the action of bringing accountability actors together that had the most significant impact.

Within the mid-term and final evaluation, many of the young people, PIP facilitators and UYDEL managers noted the Masooli workshop at a critical juncture in the change of relationships between UYDEL and the PIP group members. 'I think it has changed [UYDEL's opinion of YP] because according to our trip to Masooli, when they were talking to us, they say that they didn't expect that from us. According to that, I think it has changed their ideas about us' (ME-GM: Mar, 2012) This event, which was initiated, planned and delivered by the PIP group members involved, appeared to shift individuals' perceptions regarding what the PIP group members were capable of. UYDEL was initially looking for this inquiry to provide tools and resources to aid participation, but the managers most closely involved in the inquiry learnt that the PIP group members had a much greater capacity than expected. Ramalingam and Jones (2008) use the term *co-evolution* to describe how 'the overall system and the agents within it evolve together, or co-evolve, over time' (2008:8). Within an adaptive complex system, it is argued that the characteristics or tendencies of an agent may be powerfully shaped by its interactions with other agents or the wider system in a reciprocal fashion that changes the interacting environment and the agents themselves. The inquiry showed that PIP had an impact upon the PIP group members and that this change altered the dynamics of the accountability relationships with others. As the confidence and self-belief in the PIP group members increased, the PIP group members challenged stereotypes and broke down boundaries which had inhibited accountability relationships. Where trust and understanding were enhanced, the PIP group members found power in collective agency and the PIP facilitators felt a greater commitment to protect spaces for participation. PIP largely focused upon change of the PIP group members, but this change became effused and led to other actors changing.

METHODOLOGICAL REFLECTION ON POWER

GROUP POSITIONALITY

As discussed, through my own personal reflections and within the collaborative planning and review meetings, I attempted to be reflexive regarding my own power and how this affected the inquiry. As noted by one PIP facilitator 'For the girls, honestly, they still see you as someone who is better than them […] You can't really blame them because 1) you are a Muzungu, then they see that you are from the UK and that's powerful, no matter what you do' (FE-LF: Jun 2012) Podder highlights how the researcher's entry in the field and initial reception is intrinsically related to issues of cultural contextualization of his or her social identity (Podder, 2010:174). It is argued that issues such as marital status, age, physical appearance, racial, ethnic, class and nationality impact upon the research process. At times, I utilised my power as a Western academic to initiate conversations and to open doors for the NGO and for the PIP group members. As highlighted in the previous section I sometimes utilised my own power as a safeguarding mechanism. However, for the most part, I tried to minimise inequality between myself and other actors. I did this in overt ways: by being explicit in my aims and by handing over facilitation and decision-making wherever I could; and I did this in more subtle ways by being careful with my language and my positioning in a room. As **Appendix K** highlights, I often sat on the floor and outside the room within PIP group sessions. I also handed over all photographing and recording of the sessions to the individuals involved.

I believe that the PIP group members and facilitators viewed me differently from other researchers they had encountered: 'you are more down to earth and different to other Muzungus (foreigners) […] you try to do that, which is why they are free with you, they can talk to you but there is still some difference' (FE-LF: Jun 2012). Whilst my conduct seemed to change perception I also recognise that my gender and heritage may have been a factor. I noted that at the start of the inquiry the PIP group members referred to me as white, but by the end they referred to me as brown. It is argued that gender differences between the researcher and the researched play an important role in conducting research; especially when research engages 'vulnerable groups or where research revolves around sensitive gendered experience' (Liamputtong, 2007:75). However, whilst I am a woman, I am not a Ugandan woman or mother. As discussed previously, in Uganda motherhood is culturally important. Many of the group members found it was strange that at the age of 33, I was not a mother. Perhaps, partly due to the nature of the action research processes my identity with the young people evolved and regularly changed. Sometimes I was a practitioner,

sometimes a researcher and sometimes a teacher. Kellett and Ding note that the process of adopting multiple identities is not uncommon, particularly within ethnographic research; 'some researchers take on multiple roles, particularly in ethnographic research' (Kellet and Ding, 2004:171).

I felt as though I never became as close to the group members as the local facilitators who were Ugandan and of a more comparable age to the group members. However, I do believe that the PIP group members recognised that I genuinely cared about their well-being. It is argued that the researcher, who is generally an outsider, must build not only a basic knowledge of local dynamics 'but also a feeling of mutual trust and rapport with the community, with whom they are entering into a seemingly unbounded dialogue, and this requires time and commitment' (Jigyasu, 2010:110). Throughout the inquiry, I tried to address my own power by building rapport and trust; I also wanted to be respectful of the PIP group members' local and experiential knowledge. As Anderson and Umberson argue, doing research in a foreign setting is about 'building mutually beneficial relationships with the people you meet in the field and about acting in a sensitive and respectful manner' (Scheyvens and Storey, 2003:139). As discussed, I chose not to interview the PIP group members in order to respect their privacy and to develop trust. However, I wonder to what extent this might have been a culturally biased view; whether it was more respectful to ask questions about the PIP group members' lives, or, to do as I did, and to not pry. I chose not to make the PIP group members' lives part of this inquiry, but this did not mean that we never had conversations. The information regarding the group members might have been useful to the inquiry, but the agreement I had with the group was to respect their impressive contribution as action researchers, rather than to make them the subjects of inquiry.

NEGOTIATING CULTURE

Cross-cultural work and research, whether conducted internationally or in the UK, presents particular challenges. Assumptions of acceptable and normal behaviour can be difficult to navigate. Whilst I have worked internationally before on many occasions, I find certain aspects of my culture make it difficult to accept different parts of other people's culture. Particularly in relation to time keeping, I found it difficult to let go of my own cultural norms and to accept the culture of the country I was working in. As an international social worker, I make an explicit commitment to my values of social justice and equality; however, over the year, it was apparent that my values were at odds with the values of some Ugandans. I do not believe it is right to force my own values upon

others, particularly when working across cultural boundaries, but I found it challenging not to disclose my beliefs when asked about my opinion on the hotly contested Homosexuality Bill. Whilst I had strong views on the subject, I decided that it was not appropriate to raise my views in case my views had a detrimental impact upon the NGO or young people I engaged with.

CHAPTER 6: CONCLUSION

FIGURE 12: PIP GROUP MEMBER FACILITATING THE YOUTH-LED ACTION RESEARCH, 2012

WARRANTED ASSERTIONS

This inquiry generated unique insights into practitioner experience and how progress was made towards identifying a functional way in which NGO accountability might be enhanced. Drawing together the discussions highlighted in the previous two sections, this chapter begins by exploring the ***impact that the practice model*** had on the NGO's accountability. At the end of the section, attention is brought to the warranted assertions. The reader is reminded of the pragmatic thought which underscores this inquiry. As pragmatists believe that knowledge is only generated by experience and that all knowledge is fallible, the term warranted assertion is often utilised. Effectively the findings and discussion chapters were intended to give insights into the conditions which warranted assertions. This chapter draws together the chapters which precede it, to indicate to the warranted assertions which can be made as a result of the inquiry. Whilst the first section highlights the strategic level assertion, namely, that participation enhances all forms of accountability, the section moves on to discuss assertions which are made in regards to power. It is noted that whilst literature on NGO accountability often highlights power and inequality as problematic, discussions of power tend to be undertheorized. Whilst the original design of the practice model was not naïve to power, the PIP facilitators learnt to broaden their original approaches to empowerment and became more sensitive to the way in which power manifested. As a result, it is argued within this section that a **more nuanced approach to power and empowerment** is required when addressing the subject of NGO accountability.

The third and fourth sections explore the ***complexity*** which emerged and how the PIP facilitators created processes to respond. Within the section on complexity, it is acknowledged that implementation and the issues that emerged were highly context-sensitive. Furthermore, that whilst emergent change was informed by cultural and historic factors, it was also non-linear, episodic and quite often unpredictable. Whilst systems theory was found to be helpful at an early stage, it is recognised that systems theory might present a picture of accountability, and the relationship between accountability actors, which is over-simplistic. The inquiry raises the question to whether accountability should, in fact, be regarded as a system. The key aspect of systemic PIP is regarded as the most problematic theoretical aspect of the original design. This section concludes by highlighting the similarity between the findings which emerged from this study, with recent work on complexity theory. A summary of PIP the practice model, its strength, challenges and recommendations for further development is summarised in ***Appendix C2***.

The final section of this chapter concludes by highlighting the warranted assertions made in regards to ***managing power and complexity***. It is noted that the original design of the practice model did not evolve into a form that was originally anticipated. Rather than resulting in a blueprint approach, which would guide practitioners to enhancing accountability, PIP emerged as a model which focused on process. It is evident that the PIP facilitators could not work with each group in the same way and that they could not anticipate every event, so they reacted by creating supportive processes and by allowing the implementation to become more flexible.

It became apparent that altering inequalities depended not upon creating spaces for participation but upon conceptualising empowerment more broadly; supporting the development of individual and group agency as well as focusing on ***the human dimension of accountability.*** It is recognised that accountability is not a machine and the people which facilitate it are more than just cogs. The section entitled the nuanced approach to accountability draws attention to the importance of personal relationships, but it is within this final section that the impact upon facilitators is recognised. In order to manage power and complexity, it is argued that the role of practitioners has to be acknowledged and that they need greater support. Rather than offering practitioners blueprints of how to achieve desired goals, it is asserted that practitioners should be supported to engage in critical reflection, peer support and training.

TABLES: WARRANTED ASSERTIONS

The tables highlighted below offer a quick overview of the main warranted assertions; they are referred to throughout this chapter. ***Table 7*** highlights assertions at ***a practical level*** whilst ***Table 8*** focuses on more theoretical ***strategic level*** assertions. Each table is divided into four columns; the warranted assertions and the section within this chapter where they are discussed are highlighted in the first and second columns respectively. In the third column, a brief summary of evidence is offered before the final column indicates the possible impact of these assertions.

Warranted assertions	Section title	Evidence	Impact
Implementation had to be context sensitive	Complex problems	*Safe and effective implementation required the complexity of the context and the individuals it engaged to be reflected in the design.*	*Responsible action depends on context. Practitioners need an in-depth understanding of context. Time and participation can aid this.*
Change was non-linear and unpredictable: uniformity was not possible	Complex problems	*Implementation responded to highly localised contextual and individual differences; the unique characteristics of the individuals involved and the choices which emerged through the participatory process. Facilitators responded to group changes. Overall change was episodic. Events such as civil disturbance and Ebola caused rapid unexpected change*	*Responsible action does not mean doing the same thing regardless. Participation requires the ability to change. Programming needs to be flexible and responsive to change. Practitioners need to expect the unexpected and to have supportive processes in place. The impact cannot be assessed at one-off points.*
Accountability depended on people	A nuanced approach to power and empowerment And Managing power and complexity	*Relationships, trust and honesty helped increase accountability. The complex environment also affects practitioners.*	*NGOs must be accountable to their staff. Practitioners need support and need to support each other. Facilitators need the time and skills to develop relationships. Participation is essential for relationships.*
Small things mattered	Complex problems	*Attention to allowances, language, small differences in income highlighted that group members' focus on responsible action was different to facilitators'.*	*Practitioners cannot assume to know what is important and what is not. Time and a participatory approach are required to understand the significance.*
Power emerged in subtle ways	A nuanced approach to power and empowerment	*Power emerged in knowledge production, language and terms of participation. Agenda and funding were shaped by powerful actors who could not be engaged.*	*Practitioners need to be aware of the different ways that power can manifest and have strategies in place to respond.*
Group work, the capacity building, supporting skill development was important	A nuanced approach to power and empowerment	*Facilitators need to support broader individual and group capacity building; groups initiated own peer training; various individuals noted positive impact this had on accountability*	*Accountability should not be viewed as a short-term intervention. Time needs to be dedicated to multiple forms of empowerment in order to foster equality*
Commitment to values was essential for responding to emergent challenges	Managing power and complexity	*Facilitators sometimes felt the need to compromise participation due to safety concerns, speed, lack of resources, cultural appropriateness or choice. But the process was aided by commitment to values and honesty*	*Practitioners need to be clear and honest about their priorities. Reflective practice and peers support should be encouraged, staff need to be given training and time to reflect in order to enhance accountability*

Table 7: Practice-level conclusions

Warranted assertions	Section title	Evidence	Implications
Participatory approaches offer opportunities for enhancing all forms of accountability	Impact of the practice model	*The participatory approach had a positive impact on multiple types of accountability.*	*Participatory approaches should be considered not just in regards to downward accountability but for the important contribution they can make towards all forms of accountability.*
A nuanced approach to power and empowerment is necessary to understand and enhance equality in accountability	A nuanced approach to power and complexity	*Proposal writing, agenda setting, terms of participation and reporting were defined by the most powerful actors. Power was evident in non-engagement and by how perceptions of the powerfully shaped action. Liberal empowerment created spaces for participation in NGO accountability. Liberating empowerment approaches were increasingly used by facilitators.*	*NGOs to more closely consider how power manifests within organisations. Mechanisms for addressing power inequality in NGOs and accountability systems are needed. Spaces for participation may need to be advocated for and protected by those that have adequate power to do so. Accountability systems should incorporate liberating empowerment approaches.*
Change was subject to, and resulted in, complexity	Complex problems	*The original approach adopted brought together a wide number of accountability actors. It was difficult to identify and engage accountability actors. Each group chose to take different paths. The actors involved had often opposing views on the responsible action. Progress was not linear and subject to regular change.*	*Lack of homogeneity brings into question the relevance of systems theory and universal accountability standards.*
Attention to process is needed to Understand and enhance accountability	Managing power and complexity	*Facilitators acted as intermediaries between PIP group members and more powerful actors, not only negotiating space for participation but also translating knowledge. Facilitators were often responsible for deciding the direction.*	*Staff need time, support and training to deal with dimensions of power and complexity. Values are integral to supporting the brokering process. NGOs and brokers need to consider and to be aware of the power they hold.*
Accountability systems need to acknowledge and support the human dimension	A nuanced approach to power and complexity & Managing power and complexity	*Implementation and accountability were affected by relationships. Facilitators and group members were personally affected by external factors and by the complexity of implementation. Decision making was affected by personal values and relationships between actors.*	*Accountability design needs to consider the impact of the context and the personal impact on what is being asked. Design needs to be flexible; time needs to be afforded to relationship building. Staff need support. Participation is integral.*

Table 8: strategic level conclusions

IMPACT OF THE PRACTICE MODEL

IMPACT UPON ACCOUNTABILITY

This inquiry demonstrated that, whilst subject to limitations, an increase of participation with UYDEL's beneficiaries led to an overall enhancement of the NGO's accountability. Returning to the typological framework defined in the literature review, it is possible to demonstrate that participation had a positive impact upon all typological forms of accountability. The concept of participation is most closely associated with the concept of ***downward accountability***. By creating conceptual and physical space for participation, the PIP group sessions empowered its members to have a greater role in how the NGO ensured and demonstrated responsible action. The PIP group members raised issues of concern, communicated with the wider community, engaged in proposal writing and aided monitoring and evaluation of projects and thus enhanced accountability between the NGO and its beneficiaries. The impact assessment, which engaged the PIP facilitators, group members and UYDEL staff, highlighted a belief that the PIP group sessions positively affected relationships between the NGO and its beneficiaries. However, it was also noted that those involved felt that this increased accountability was subject to limitations. As discussed in the previous chapter, PIP struggled to make an impact on the wider organisational management of the NGO. Largely due to the PIP group members' commitment, the implementation of the group sessions was also viewed as enhancing *downward accountability* between the NGO, its beneficiaries and the wider community. The PIP group members chose to act as intermediaries and knowledge brokers between the NGO and the community in which they lived.

In regards to ***horizontal accountability***, it was noted that, through the delivery of group sessions, many of the standards defined by the voluntary accountability mechanism the QuAM were enhanced. ***Appendix C4*** highlights which indicators of the QuAM PIP assisted. However, whilst the PIP provided avenues for the NGO to demonstrate responsible action to peer organisations, the impact was again subject to limitations as it did not address all aspects of the QuAM. Via the planning and review meetings, the PIP facilitators felt that the NGO's commitment to them as the staff was enhanced as they received regular training and support. However, implementation of these supportive processes rarely went beyond the PIP facilitators; a notable exception to this relates to the training offered in human rights and accountability which was offered to all staff. The support of staff is regarded as one dimension of ***internal accountability***. More generally, the implementation of PIP was viewed as having a more significant impact upon this form of accountability as the participatory process can be viewed as an explicit commitment to a *rights-*

based approach. Whilst the authentic nature of participation with the PIP groups highlighted the NGO's internal accountability, this impact was primarily limited to within the PIP groups. As discussed, there was some reservation about PIP's ability to impact upon the NGO as a whole. As this process began the partner NGO, UYDEL stated that as a *rights-based* NGO, it was 'committed to upholding individuals' fundamental rights and respecting and promoting group rights in all dealings within the organization and in society' (UYDEL, 2001a). One of the more surprising consequences of participation in NGO accountability was the impact upon ***accountability by proxy***. As a consequence of the participatory process, the PIP group members highlighted that they felt more able to approach and hold local leaders to account. The participatory process built relationships between several accountability actors and this, in turn, enhanced their accountability relationship with each other.

However, whilst having a significant impact upon the relationship with local leaders the process proved to have a minimal impact on the NGO's *upward accountability* to the donor, or the accountability relationship between the PIP group, local community and donors. The youth-led action research produced knowledge that offered new insights as to the lives of individuals living in slum areas. This knowledge had the potential to demonstrate a sound basis for responsible project design and thus participation in knowledge production was viewed as having the potential to enhance *upward accountability* to donors. However, the donor's parameters for participation proved largely non-negotiable and the systems of accountability which they defined were largely not able to incorporate the voice of the PIP group members. Furthermore, whilst the inquiry worked closely with other accountability stakeholders there were just three accounts of engagement with three separate donors.

The most significant impact of the process of inquiry proved to be related to the direct impact on the lives of those involved. As discussed, PIP appeared to have a catalytic effect not just upon PIP group members, but upon all parties involved. Many individuals began to question the status quo, stereotypes and perceptions of their own capacity. In more concrete terms, it also led to many of the group members initiating their own business or deciding to change life paths. As accountability refers to how accountability is ensured and demonstrated, a question is raised to whether enough consideration is given to the empowering potential of accountability processes. Within *rights-based* NGOs that are explicitly committed to equality and participation, it is argued that the most responsible course of action would be to adopt accountability mechanisms ascribed to these same values.

WARRANTED ASSERTION: THE IMPORTANCE OF PARTICIPATION

The impact of the participatory aspect of the practice model was most visible in regards to downward, internal, and by proxy accountability; however, there is an indication that the practice model has the potential to positively impact upon all forms of accountability. The inquiry suggests that participatory approaches should be considered not just in regards to *downward accountability* but for the important contribution they can make towards all forms of accountability. As such, one of the main conclusions highlighted in **Table 8** refers to how ***participation was able to enhance all forms of accountability***. ***Appendix C2*** provides a summary of the strengths and weaknesses of the practice model's original design, alongside recommendations for further development. It is noted that the ***original design*** of PIP the practice model focused on participation as a tool for enhancing downward accountability; the potential of participation to enhance other forms of accountability was not fully recognised within the design. As a result of the findings, I believe that at a ***practice level***, NGO practitioners should be encouraged not to consider participation as merely an add-on to their work, but rather, as an integral component of accountability. At a ***strategic level,*** it is argued that NGOs need to consider the way in which participation is framed as a mechanism for downward accountability. Describing participation purely in regards to this form of accountability may create conceptual boundaries in regards to the function and purpose of participation. Featherstone suggests that to be effective, 'an accountability mechanism needs to incorporate all of the stakeholders' (Featherstone, 2014:26). It is suggested that if ***further development*** and inquiry is undertaken then attention should be afforded to how a practice model could better aid upward and *horizontal accountability* and whether the participatory processes could be better integrated into the core functions of the NGO.

A NUANCED APPROACH TO POWER AND EMPOWERMENT

The inquiry demonstrated that participation can be used as 'a tool for' or an 'indication of' empowerment. For example, participation was utilised in group sessions as a tool to empower group members in regards to accountability. By engaging group members in activities such as proposal writing, strategic planning, monitoring and evaluation, the NGO was empowering its beneficiaries to have a greater stake in how the organisation ensured and demonstrated responsible action. At a later stage, the PIP group members began to claim spaces for participation. This is viewed as an indication of the group's empowerment as they were able to demand participation within spaces that were previously closed to them. When the PIP group members began their own youth-led business it demonstrated that the group was claiming its right to decide how resources should be responsibly used; thus, participation in resource management was viewed as an indication that empowerment had already occurred. Whilst there is a close relationship between participation and empowerment, the study indicated the importance of understanding the nuances of power and empowerment which inform participation. By nuances, I refer to an awareness of the subtle way in which power manifests and the theoretical assumptions upon which concepts of empowerment are premised.

SUBTLE MANIFESTATIONS OF POWER

The data highlighted that whilst incidents of overt power and control were evident, there were very few accounts of where one accountability actor exhibited ***power over*** another actor in a visible form. Throughout the inquiry, ***visible power*** was only exerted where there were financial constraints or safety concerns. More commonly ***hidden power*** emerged within the language and systems of accountability. The data also highlighted that different accountability actors held deeply entrenched views regarding the young people involved. Even without direct contact, certain accountability actors still maintained an ***invisible power*** over the group. Frequently power emerged as the PIP group members exhibited a lack of belief in their own capacity and skills. Addressing this issue was complex and progress was non-linear. Furthermore, the path of each individual was unique.

FROM A LIBERAL TO A LIBERATING APPROACH

The original design of PIP the practice model focused primarily on a ***liberal approach*** to empowerment, as it sought to create space for participation in NGO accountability. In many respects, the empowerment of UYDEL's beneficiaries was dependent upon *invited spaces* for participation. The PIP facilitators, I in particular, utilised their own power to demand spaces for participation on behalf of the PIP group members and wider beneficiaries. The second indication of PIP's *liberal approach* is demonstrated by the very purpose of the practice model as PIP was created for the purpose of enhancing accountability. Empowerment was a means to enhancing accountability; in other words, empowerment was viewed as being instrumental.

Whilst there were some brutish, liberal attempts to force a change of power, it would be false to present the original design purely in this way. Informed by theories of social action there was also evidence of a ***liberating approach,*** as group members were encouraged to explore the challenges they faced in relation to a broader systemic conceptualisation of the world. The original design also demonstrated a strong commitment to collective power, *power within*, which was demonstrated in the group articulation of the model. *Power to* was also evident in the original design's commitment to youth-led action research. The practice model demonstrated a belief that by increasing the group member's skills in inquiry, and by enhancing participation in knowledge generation, the group members might be empowered to more effectively engage with how the NGO ensured and demonstrated responsible action. In order to change the power dynamics, the PIP group members were supported to undertake inquiry upon a subject which mattered to them. It was imagined that this process would lead to an increase in individual agency, *power within*. There was no constraint placed upon subject choice. This approach appears unique as I have not been able to identify any other action research inquiry within the NGO sector. This decision not only facilitated the PIP group members to critically explore an issue that mattered to them but led to unique insights regarding a context within which it is exceptionally hard to undertake research.

Whilst evidence of both liberating and *liberal approach* was evident in the original design, emphasis on a *liberating approach* increased as the study progressed. As manifestations of power were subtle, the PIP facilitators increasingly found themselves reacting in subtle ways. Where *hidden power* emerged in systems and bureaucracy, one response was to build the group members' capacity to engage; their '*power to*' was developed in response. One example of this was where the PIP facilitators delivered additional sessions in logical framework design so that the group members could engage in proposal writing. A decision was made from the outset that group members should be supported to develop the capacity and skills to engage with more powerful accountability

actors; the group members were taught the language of the powerful and supported in developing research skills. The changes made to implementation demonstrated that whilst there was evidence to demonstrate a *liberal approach*, the PIP facilitators became increasingly aware of the importance of group work, capacity building and skill development. In many cases, the need for a broader conceptualisation of power and empowerment was highlighted by the PIP group members. For example, it was the PIP group members who highlighted that it was important to them to learn additional skills, such as literacy and money management. It was also the PIP group members who began peer teaching and who asked for additional literature to be brought into their sessions.

THE HUMAN DIMENSION OF ACCOUNTABILITY: RELATIONSHIPS

As the PIP group members' *power to*, *power with* and *power within* developed, their relationship with other accountability actors also developed; there was co-evolution. For example, UYDEL managers originally questioned the ability of the beneficiaries to engage in this process. But particularly after the Masooli workshop, which was noted by various individuals as a tipping point for change, opinion seemed to change as they saw the group members' ability. This event appeared to make certain individuals re-question their assumptions. Furthermore, as the PIP group members' confidence and collective power developed, they felt more able to engage with local leaders. The subsequent link between accountability actors demonstrated an apparent erosion of stereotypes and assumptions. Mannion asserts that relations, identifications and space are reciprocally linked: they co-evolve. He states that in 'effective projects, relations between adults and children, their associated identifications and the spaces they inhabit will likely change' (Mannion, 2009:338). The inquiry highlighted that positive change was most likely to occur where there were personal relationships had developed. The inquiry highlighted that, whilst spaces for participation can be opened up, it is the less tangible forms of empowerment that are able to respond to the less tangible forms of power. The fluidity of power and empowerment lends itself to an understanding of power expressed by authors such as Foucault, who asserted that 'power is not a finite entity that can be located; power is relational, not a substance, and is something which only exists in exercise' (Foucault cited in Rowlands, 1998:14).

TENSIONS BETWEEN EMPOWERMENT APPROACHES

This *liberal approach* to empowerment led to certain success, as the design of the practice model facilitated a means by which to demand space for participation in accountability. As Lansdown notes, 'participation provides opportunities for them to challenge power elites and structures which serve to oppress them and, in so doing, to render them more accountable' (Lansdown, 2009:17). Furthermore, it is argued that a *liberal approach* offers a tangible place to start and a means to introduce change agents. As discussed, it is sometimes argued that the process of change needs to be kick-started by an outside agent; otherwise internal oppression and other invisible forms of power may mean those that are oppressed may never question the status quo. It is noted that the original design of the practice model utilised Hart's ladder of participation. However, authors such as Shier (2001), build upon this framework, to assert that there is a need for higher levels of participation to create an organisational obligation for participation. He states, that opportunities for decision making arise 'where there is a procedure that enables this to happen, and an obligation is created where it becomes the organisation's policy that children and adults share power and responsibility' (Shier, 2001:115). Shier's work and the findings of the study suggest that a *liberal approach* may be needed; the practice model may be enhanced, by adopting theories which articulate the need to protect space for participation.

The inquiry clearly demonstrated that the PIP facilitators shifted towards a more *liberating approach*, but it was also noted that the *liberal approach* to empowerment never fully dissipated. At certain points of the inquiry, the PIP facilitators reclaimed powers either to close down participation when they considered that there were safeguarding issues or when they felt that they had to utilise power to force spaces for participation. A *liberating approach* to empowerment is necessary but arguably in the current context, a *liberal approach* to empowerment may be unavoidable. As discussed, at times, the facilitators acted as brokers upon request. For example, the PIP group members expressed a belief that it was more culturally appropriate for the facilitators to speak to local leaders on their behalf. On other occasions, the PIP facilitators acted to open up spaces for participation because they became aware that the group's own attempt to claim space was failing. This was most apparent when the PIP facilitators acted to enforce the PIP groups' participation in strategic planning and project implementation. In a non-ideal world where cultural beliefs may not necessarily be egalitarian, and the powerful create systems which might inhibit participation, it is argued that a *liberal approach* to empowerment may be necessary.

However, Sardenberg (2009) describes this *liberal approach* as a 'decaf version of empowerment', which is effectively power neutral, as whilst appearing to be forceful, this conceptualisation of empowerment utilises power without addressing the underlying causes of marginalisation and inequality. She states that liberal empowerment approaches tend to focus on 'access to information, inclusion and participation, accountability and local organisational capacity, but it does not discuss why some groups are excluded' (Sardenberg, 2009). The PIP facilitators were not able to completely avoid *liberal approaches* to empowerment, but the inquiry demonstrated that the greatest impact occurred where more *liberating approaches* were adopted and where the development of relationships was supported.

WARRANTED ASSERTION: A NUANCED APPROACH TO POWER AND EMPOWERMENT

Informed by the literature review the ***original design*** of PIP the practice model incorporated the key aspect of *critical PIP* as an explicit attempt to redress the inequality evident between accountability actors. In particular, the practice model exhibited a commitment to empowering UYDEL's beneficiaries and to strengthen *downward accountability* mechanisms. Whilst the original design was not naïve in regards to power and empowerment, it did demonstrate some aspects of *liberating approaches* to empowerment. I have come to realise that it was under-developed in this respect. The original design of the practice model was informed by Social Action, which was selected due to its sensitivity to power. However, my articulation of the model did not fully articulate the importance of empowerment. Whilst I had read about power and empowerment, I now recognise that I was unable to fully comprehend the complexity and challenges until I attempted to facilitate the process myself. It is argued that 'the process of action research is a process of self-education for the practitioner – though one which may also produce commentaries and reports aimed at helping others see things more clearly, too' (Kemmis, 2001:95).

The study brought together concepts of power and empowerment that have rarely been combined with an exploration of NGO accountability. It is argued that to further enhance NGO accountability a ***more nuanced approach to power and empowerment*** is required. If the practice model was to be ***further developed***, there is reasonable cause to assert that at a practice level practitioners need to be aware and have tools to respond to power in its various manifestations. Rather than just opening up spaces for participation, empowerment needs to be considered more broadly. However, whilst the PIP facilitators became increasingly aware of the importance of *liberating approaches*, *liberal approaches* to empowerment never fully disappeared. Further inquiry on how to enhance accountability might need to explore whether fixed and moving elements of power might be incorporated into the design of a practice model, in a more explicit and considered way. Various

authors have attempted such an approach; for example, Clegg (1989) seeks to integrate both fixed and moving elements of power. However, the application of this has not yet been explored in regards to NGO accountability. At a ***strategic level,*** NGOs need to consider the underlying assumptions of participation, especially where it is bound to a project or to be undertaken within a set timeframe. It also needs to be recognised that creating spaces for participation is not adequate in isolation. Addressing inequality in accountability requires a more thorough understanding of how power manifests in systems, languages and assumptions. Throughout the inquiry it is evident that the most powerful way to address inequality was through the development of relationships; as such the bureaucratic nature of accountability systems may require further consideration.

COMPLEX PROBLEMS

Whilst the chapters on power and complexity were separated for the purpose of description in this thesis, it is noted that the issues highlighted are inter-related. This section highlights this relationship, and highlights how the issues encountered may be regarded as complex problems. Guijt asserts that a more informed approach to complexity is required as most accountability systems tend to 'look at accountability and learning from an oversimplified understanding of reality' (Guijt, 2010:280). Authors such as Ramalingam and Jones (2008); Guijt (2010); Ramalingam (2012); Ramalingam (2013);Boulton *et al.* (2015) are some of the several authors who highlight the significance of complexity theory to the study of aid and NGOs. Whilst this study was not primarily informed by complexity theory, it is argued that many of the challenges of accountability highlighted within this inquiry are in synergy with what these authors might describe as a complex problem. In regards to complex problems Boulton *et al.* (2015) articulate a belief that complex problems are different to complicated problems as they are particularly sensitive to context; systemic and synergistic[49], because the whole cannot be understood as being equal to the sum of its parts; *path-dependent*; emergent but not predictable; multi-scalar[50] and episodic. This section draws on the findings and discussion to highlight the importance of understanding complexity as a part of understanding and responding to accountability problems.

CONTEXT SENSITIVITY

In order to ensure responsible action, the PIP facilitators recognised the need to be sensitive to context and the individuals involved. Sometimes change was stimulated by the necessity of the context; for example, when working in the slum areas, it is evident that the spatial complexity forced changes, as there was limited choice of session location. In other cases, change was stimulated by the need to safeguard those involved. This was particularly relevant in the Kawempe site that was regularly affected by environmental hazards. The context also affected the way in which participatory activities were implemented as each area was subject to its unique issues, communities and history. The Kawempe site was affected by poverty to a greater extent than Makindye and within each area, micro-communities existed which reacted to the youth-led research in different ways. The experience of practitioners demonstrated that they felt the need to respond to the unique

[49] When connections in a system are not linear they are regarded as synergistic interactions. We cannot consider these causes additively; their effects cannot be analysed by working out the effect of one and then adding to this the effect of another' (Boulton et al. 2015:36)

[50] 'the complex world is viewed as multi-scalar, which is to say that we cannot understand or explore its characteristics by paying sole attention to only one level of scale(Boulton et al. 2015:37)

context of each inquiry site. In regards to children's participation Malone and Hartung highlight that a one-size-fits-all model fails to account for 'the very contextualised and unique ingredients that make up any children's participatory project within a community' (Malone and Hartung, 2009:32). The inquiry demonstrated not only the importance of understanding the complexity of context but also the importance of understanding different scales of complexity. It was noted that the conceptual boundaries of accountability were exceptionally hard to define. In regards to identification of accountability actors, it was recognised that *downward accountability* comprised of hidden individuals and micro-communities, which had highly variable needs. *Upward accountability* comprised of a vast array of local leaders nested within complex governance systems and donors that lacked a human face and which were difficult to engage. Furthermore, the study repeatedly emphasised the difference between the two PIP groups. Whilst on paper these groups may have appeared homogenous, the PIP group members highlighted themselves how very small disparities, in factors such as income, gave rise to notably different needs, identities and vulnerabilities.

CONFLICTING VIEWS AND STANDPOINTS-OF-SCALE

The original design of the practice model incorporated systems theory, in an attempt to highlight accountability relationships between different actors. It was noted that Wulczyn *et al.* defines a system as a 'collection of components or parts that are organised (i.e. connected to each other) around a common purpose or goal' (Wulczyn *et al.*, 2010:10). However, whilst there is a shared goal of ensuring and demonstrating responsible action, the inquiry has highlighted that this is perhaps where the similarity ended. UYDEL, the government of Uganda, donors and PIP group members exhibited different beliefs in how accountability should be ensured and demonstrated. From the outset UYDEL's beneficiaries and PIP group members highlighted a belief that process was important; how things such as honesty and the NGO's use of resources mattered. The impact was emphasised much less than by the donors who restricted activities in accordance with global impact goals. Perhaps due to events that emerged at the time, the government was concerned about control of NGOs to ensure that activities respected their sovereignty and values. With so much divergence evident in priorities and beliefs regarding accountability, it is questionable whether accountability could or should be viewed as a system.

Accountability and the mechanisms adopted to ensure and demonstrate responsible action are generally not defined by the communities which NGOs seek to support. As highlighted by the PIP facilitators' experience of trying to engage the PIP group members in proposal writing and strategic planning, many of the systems created to ensure responsible action actually inhibit participatory approaches. There is a *hidden power* that perpetuates inequality that is inherent within the systems

that are designed to ensure responsible action. The inquiry highlights that inequality is manifest not just in the language, forms, technology and systems used, but by the scale of what is considered. The complexity of accountability means that the conceptual boundaries are exceptionally hard to define. When NGOs define the boundaries of accountability they are taking power by controlling definition and focusing upon the issues which are of importance to them. In regards to NGO accountability, this raises questions about how responsible action is defined. Whilst NGOs tend to focus upon larger scale project impact, the 'my NGO' activity indicated that the young people's standpoint of scale may lead them to adopt different conceptualisations of accountability.

PATH-DEPENDENT ISSUES

As discussed, the inquiry highlighted that each PIP group required a different level of focus upon empowering processes. In general, more time was afforded in Kawempe to liberating empowerment approaches, but even within one location, it was noted that different individuals exhibited different needs and changed at different speeds. The facilitators' work plan altered to reflect the emergent needs of each group and of individuals, highlighting that 'empowerment cannot be expressed as a standard formula that works equally on everyone' (Pathways of Women's Empowerment, 2011). Whilst the data suggests that the PIP group members' *power within* changed through the process of participation, the process was complex and individual. The challenges of empowerment and the differences between individuals highlighted that empowerment was affected by historical, contextual and cultural issues; it was *path-dependent*. As highlighted by Allen and Boulton (2011), cause-and-effect chains are influenced by several factors acting together; the outcome is affected by chance, history and the wider environment.

Whilst factors such as rain can seem like isolated events, the flooding which affected session implementation was, in fact, a consequence of a series of recent and historical decisions; in other words, again the change was *path-dependent*. As highlighted within the inquiry, it was my and UYDEL's decision to implement PIP within the poorest area of Kampala; the poorest individuals in Kampala had decided to live in Kawempe because it was the cheapest and least desirable piece of land in the city. Thus, whilst the rain might be an isolated event, we must also acknowledge that the decisions we make are subject to a wider environing context. It is evident that it wasn't the rain that created the change in the implementation of the Kawempe sessions, as it rained equally as much in Makindye. Rather, it was the decision to work with the poorest individuals who were situated on the most marginalised land in Kampala, due to the poverty and inequality they experienced. In regards to accountability, it is argued that we need to broaden our conceptualisation of how we ensure and demonstrate responsible action. If we do not acknowledge the complexity of working with the

poorest and most vulnerable, and that doing so may incur additional time and costs, then NGO practitioners may be tempted not to engage with these communities, as they may not be able to meet targets or to work within budgets. This issue of *path-dependency* requires further investigation but the inquiry highlighted how a very slight difference between the groups led the PIP facilitators to question their ability to work in what they felt was a much more challenging environment. The data suggests that accountability systems need to give greater recognition to historic and recent events which affect implementation. It is argued that any concept of responsible action must encompass a holistic understanding of the communities and environment in which projects are situated. Recognising *path-dependency* also leads to recognising how small changes may have subsequent significant results. In this inquiry, it was highlighted how the small change of handing over control of resources to PIP group members led to a big change in their lives.

EMERGENT CHANGE

Whilst events were emergent and *path-dependent*, how things happened in the past was not a good indication of how they would emerge in the future. As highlighted by Ramalingam and Jones 'systems thinking assumes that systems propose rational processes and predictable results, albeit through complicated means' (Ramalingam and Jones, 2008:5). This was particularly evident in regards to how activities were received by each PIP group or in how the progress made by each group was subject to frequent change. As discussed, particularly in regards to signs of empowerment, the PIP facilitators noted ebbs and sways in the groups which were often unpredictable. As Kabeer highlights, many approaches to empowerment are premised upon false assumptions 'that we can somehow predict the nature and direction that change is going to assume' (Kabeer, 1999:462). It could not be assumed that because something worked with one individual in the past that it would have the same effect on another individual in the future. The unpredictability of change highlights the weakness of developing blueprints for responsible action. Furthermore, accountability systems that are based upon straight-line trajectories of change may draw false conclusions. As highlighted in the inquiry, the implementation of PIP had its highs and its lows, but the overall impact was positive. If examining power and empowerment at specific points of the inquiry, one might conclude that from a liberating perspective PIP the practice model had or had not empowered the young people involved. It was also noted during the impact evaluation that some positive impacts manifested after the inquiry had concluded. In regards to NGO accountability, the data poses various questions in regards to how responsible action should be defined. When assessing the impact of projects NGOs need to decide whether empowerment is utilised as an indicator of impact and if so how empowerment should be evaluated.

THE EDGE OF CHAOS

As demonstrated in the methodology, a robust system for ensuring ethical rigour was developed as part of this inquiry. Whilst this is discussed further at a later stage, attention is brought to the unexpected nature of several events which were not anticipated. Change was a constant factor but there were several points when rapid change was stimulated by unexpected events. For example, there were several incidents of rioting that were not anticipated. There were two unprecedented Ebola outbreaks during my time of inquiry. Whilst this resulted in few deaths, the outbreak came close to Kampala's slums the second time round. The subsequent 2014 West African outbreak of Ebola demonstrated how rapidly events could have escalated. Chaos is defined as 'the point in a complex system when ordered behaviour gives way to turbulent behaviour' (Battram cited in Haynes, 2003:30). I do not believe that implementation ever quite reached the point of chaos, but at times, we weren't far from it. Ramalingam argues that some systems are ordered, some are chaotic, and complex phenomena are at the interface of the two; 'at the edge of chaos' (2013:146). The way in which the PIP facilitators managed unexpected events is further discussed in the subsequent chapter. However, the inquiry demonstrates that when working in challenging environments, NGO practitioners need to expect the unexpected.

WARRANTED ASSERTION: THE COMPLEXITY OF CHANGE

The ***original design*** of PIP the practice model incorporated systems theory into its original design. When focusing upon accountability systems in a holistic way, the systems theory incorporated in PIP the practice model recognised that accountability needs to consider the inter-relationships between numerous different actors. This recognition led to uncovering of complexity and to working with a huge array of actors to address accountability. However, whilst systems theory gave actors the opportunity to broaden their concepts of accountability, this approach had its conceptual limitations. The study highlighted that the path to enhancing accountability was not uniform or linear. Furthermore, the demands and perspectives of different actors were so diverse it brings into question whether conceptually binding accountability results in masking the complexity which emerged. It is proposed that NGO accountability may be too complex to be represented as a system.

The original design of the practice model and of the methodology of this inquiry was developed in recognition that managing accountability was complicated, but perhaps a distinction is necessary between problems that are complicated and problems that are complex. Due to the synergistic, context sensitive, non-linear, *path-dependent*, emergent and episodic change that was witnessed,

there is a reason to propose that further development of the practice model should incorporate complexity theory, as opposed to systems theory. Systems thinking assumes that systems change their structures in accordance with rule-based learning, whereas complexity recognises that change is perpetual, so learning is a constant factor' (Ramalingam and Jones, 2008:5). It is asserted that it is not only important to recognise how complexity relates to context but also that context affects power and empowerment; 'if empowerment practices are not contingent on the degree of operational uncertainty that will prevail in each new environment and each new age' (Wall et al. cited in Hur, 2006:535). Furthermore, empowerment can be viewed as a complex problem.

At a ***practice level,*** this inquiry has gone some way to describing the complexity faced by NGO practitioners in their work. It is noted that the complexity encountered was highly context sensitive. Whilst this raises questions of generalisability which will be addressed in a subsequent section, this in itself is considered worthy of a warranted assertion; ***small things matter***. At a ***strategic level,*** it is asserted that accountability systems need to incorporate an understanding of complexity. Defining responsible action is complex; it is highly context specific and subject to change. Furthermore, projects which seek to support empowerment should recognise that change is likely to be unpredictable and episodic.

MANAGING POWER AND COMPLEXITY

This inquiry highlighted that fundamentally accountability should be regarded as a human system. It has been discussed how ideas about accountability are shaped by historic and new emergent events and how relationships change distortions of power and inequality; however, it also highlighted that the role of NGO practitioners warrants further attention in regards to acknowledging the human dimension of accountability. This section of the conclusion focuses upon the PIP facilitators' role in accountability and the processes that they developed in order to enhance accountability. It also focuses upon the third emergent theme of process.

WORK IN COMPLEX ENVIRONMENTS

The inquiry highlighted how the complexity of the environment could inhibit equality within accountability systems. Failure to acknowledge the reality of issues such as poor communication, environmental hazard or access to technology meant that it was sometimes impossible for the PIP group members to engage in project design, monitoring or evaluation. Snowden and Boone criticise the one-size-fits-all approach to NGO accountability stating that it results in managers acting upon the assumption that there is more predictability and order in the world than actually exists (Snowden and Boone, cited in Guijt, 2010:280). Furthermore, the detailed accounts of the PIP facilitators' experience served as a reminder that NGO practitioners are just as human as the individuals they work with; they are susceptible to illness, error and stress, particularly when working within high-risk environments. Throughout the inquiry, there were numerous examples of where a detrimental event impacted upon an individual, and where this subsequently led to changes in implementation. Whilst working in a challenging environment, all individuals involved were exposed to the hazards presented by that environment. It was also evident that whilst aware of professional boundaries the PIP facilitators developed emotional attachments to the PIP group members. The relationship between the facilitators and PIP group members enhanced accountability in some ways, as the facilitators became greater advocates for the group members and because a relationship of trust developed. However, this also had a detrimental effect as the facilitators could sometimes be paternalistic and experienced emotions of guilt and grief which affected them at a personal level.

ADAPTIVE RESPONSES TO COMPLEX PROBLEMS

There are numerous examples throughout this inquiry which demonstrated that an adaptive approach was adopted in response to complex events. One of the benefits of the original design of

the practice model was that it had no fixed timeframe. Because it was recognised that the participatory process needed to evolve, the practice model encompassed a non-project specific, flexible design. This flexibility allowed the PIP facilitators to respond to emergent events and to the choices made by the PIP group members. The PIP facilitators highlighted that the individuals involved quickly came to learn that a 'blueprint' approach was not possible. As discussed, there was recognition that each site was unique and future events were largely unpredictable. Furthermore, the flexibility also facilitated a safe and ethical response. When needed, the PIP facilitators had time to think or to seek advice without being overly concerned regarding schedules. The inflexibility of rigid funding proposals and organisational deadlines meant that sometimes the only way to ensure participation was to change agendas and session design. Guijt (2010) argues accountability is demonstrated by showing how learning has led to adaptation or 'response-ability'. Rather than focusing upon fixed concepts of responsible action the inquiry highlights the possibility of defining responsible action as the ability to respond.

SUPPORTING PRACTITIONERS

Subsequently, rather than focusing on step-by-step guides or rules for any eventuality, attention was turned to enhancing skills and to developing general guidelines. For example, the complexity of the issues that emerged led to the recognition that the facilitators required training in ethics and time to reflect on ethical dilemmas. The original design of the practice model incorporated the view that in order to ensure responsiveness to emergent issues the ethical reviews should be held after every group session. Throughout the inquiry, this practice was not only upheld but was viewed by the facilitators as useful due to the number of issues which arose. It offered the facilitators time to think and the ability to acquire support from peers. As noted by Fleming co-working in a training group 'can promote review and deeper reflection on the group-work and learning processes' (Fleming, 2004:36)

Participation can be harmful and difficult if not done well. As Bergdall highlights 'it involves a lot of learning not only by the people but also by the professionals who work with them' (cited in Mulwa, 2008:117). As discussed, training on key skills such as facilitation and participation were integrated into the planning and review sessions. It is argued that 'participation will be tokenistic if there is no acknowledgement that people have skills but these skills need to be developed through training' (Dalrymple and Burke, 2006:258). Whilst some training was delivered within planning and review sessions, the facilitators recognised the importance of ongoing skill development through action. The statement of principles of conduct for ethical research highlight that youth workers need to 'develop and maintain the required skills and competence to do the job' (The National Youth

Agency, 2005:20). As noted by Leach, facilitation of 'participatory workshops requires skill, which can only be acquired through training and experience' (Leach 2006: 1141). However, as noted by Pretty, 'participation does not simply imply the mechanical application of 'technique' or method but is instead part of a process of dialogue, action or analysis and change' (cited in O'Kane, 2000:138). Pells articulates a view that participation should be viewed as a skill that can be used in daily life to access other rights and create space for voices to be heard. She states that the most successful context to foster this is through 'lived participation' where protective and participatory relationships are supported (Pells, 2010:202).

BROKERING

As highlighted in the methodology, in the original design of PIP it was not conceived, or desired, that the facilitators' role would be as a broker. But the data highlights that throughout the inquiry the PIP facilitators adopted the role of intermediaries between different actors and as translators of knowledge. Whilst it is evident that the PIP facilitators acted as brokers and regularly changed their practice to respond to the complexity of the context, it is important that the changes that took place were informed by a strong value commitment to participation and equality. Sometimes it is a question of not doing the correct thing, but doing the right thing – we need to be led by values, not just rules.

PARTICIPATION AS A RESPONSE

The inquiry highlighted repeatedly the importance of participation as an approach for understanding and managing complexity. For example, whilst the PIP facilitators initially tried to safeguard the young people from the risks that became evident, it was noted that interventions that attempted to ensure the young people's safety through enforcing control over the group failed. It was only when a more participatory approach was adopted that safeguarding was enhanced, as the PIP group members engaged more actively with issues of ethics and the safeguarding mechanism worked as intended. The young people were able to take on responsibility and to inform the ethical design to ensure that it was culturally sensitive, relevant to context and realistic. Furthermore, the complex process of ethical negotiation when facilitated in a participatory manner offered a form for accountability stakeholders to lay bare their concerns and intentions. The participatory process of negotiation increased the PIP group members' safety, as opposed to the introduction of any formalised tool or mechanism, and enabled research to be conducted within an environment that is usually closed to outsiders. Furthermore, as highlighted previously, the relationships which

developed through this process also fostered a change in power dynamics between accountability actors.

REFLECTIVE PRACTICE

As part of the practitioner-based action research dimension of the methodology, planning and review meetings were initiated. These planning and review meetings were incorporated in order to capture the process of inquiry and as a tool to aid the cycle of action and reflection. The planning and review meetings were not intended as a part of the practice model, but unintentionally the planning and review meetings became a key component of the design. Guijt discusses the need for NGOs to be able to act adaptively and to accept the need to roll with the punches; she states that doing so requires ability 'to continually scan the context and to have the creativity required to deal with what is perceived' (2001:347). The methodological approach to action research necessitated an on-going process of action and reflection that offered the PIP facilitators a means of reviewing, reflecting and changing their practice. The BASW code-of-conduct highlights the need for ongoing professional development and learning; as such the cyclical processes of action and reflection are often viewed as a pre-requisite of good social work practice. The collaborative design of the inquiry highlights a commitment to ongoing learning through the iterative cycle of action and reflection. It is argued that when working within complex environments, you need 'leaders who can engage with their changing organisations, rather than find an equilibrium' (Haynes, 2003)

WARRANTED ASSERTION: ACCOUNTABILITY PROCESSES

Whilst the ***original design*** of practice model was designed to support NGO practitioners to enhance how responsible action is ensured and demonstrated, it afforded little attention to how an NGO should act responsibly towards its staff. When we talk of accountability systems, it is important to recognise that NGO practitioners are not mechanistic cogs within a machine. Accountability has a human dimension which needs recognition. Whilst the challenges encountered will be unique to this inquiry, there is enough evidence to indicate that accountability systems need to recognise that people are affected by challenging and complex environments, and ultimately accountability is a human system.

The inquiry also indicates that if supported, trained and given time to critically reflect, brokers can support the initiation of an equal form of accountability in NGOs. However, this is viewed as an intermediary and undesirable solution that is necessary for the given context. The PIP facilitators often had to compromise the original design of the practice model, but all decisions were made after

critical reflection and with honesty. Boulton et al. (2015) highlight that when responding to complexity, managers have to be adaptive, but that they should also maintain an overall view of direction which informs their decision making. Within this inquiry, the PIP facilitators sometimes had to take short-term action that went against the participatory nature of the practice model. However, these decisions were informed by a clear vision of the ultimate goal and a commitment to values of social justice and equality.

It is asserted that ***attention to processes is needed to understand and to enhance accountability.*** At a ***practice level,*** this means that NGOs and practitioners need to create processes that are capable of responding to emergent events and processes which support practitioners. Rather than adopting a blueprint approach, the staff and systems of an NGO need to be able to respond. At a ***strategic level***, it is arguable that the way in which we view responsible action needs to be reassessed. The data which emerged in this study indicated that accountability is more about the singer than the song; responsible action for NGOs is not about developing best practice for every imaginable scenario, it is about building the capacity of the NGO and its practitioners to take action, reflect and change accordingly. Whilst the study arrives at the conclusion that process is more important than pre-defined outcome, attention is brought back to one of the first engagement sessions with UYDEL's beneficiaries. When asked to define responsible action the beneficiaries highlighted the importance of process from the first session. Being honest, training your staff, trying your best and having respect for others were important to them.

METHODOLOGICAL CONCLUSIONS

At the start of this thesis I noted my professional identity and commitment to social tork; to promoting 'social change, problem-solving in human relationships and the empowerment and liberation of people to enhance well-being' (IFSW, 2014). Throughout this inquiry, I have attempted to be transparent regarding how my identity and values affected methodological choice and implementation of the inquiry. As highlighted by McNiff and Whitehead, it is important for action researchers to 'choose which values they subscribe to, and they show how they hold themselves accountable for their choices' (2006:24). The multi-dimensional action research methodology utilised within this inquiry was informed by the classical pragmatic works of John Dewey. It was designed to be synergetic to my values. Frega contends that 'the resources of pragmatism for advancing a project of emancipatory social philosophy have so far been neglected' (Frega, 2014:57). However, I believe that this inquiry has demonstrated that Deweyan pragmatism can be utilised to inform a methodological approach which is committed to positive social change, theoretically informed, ethical, practice-based, and emancipatory. Throughout this final methodological conclusion, I will discuss these assertions, and how this may indicate a need to re-evaluate pragmatism as an appropriate tool for social work research.

TABLE: METHODOLOGICAL FINDINGS

Within the first column of **Table 9** offered below is a summary of my main methodological conclusions. The second, third and fourth columns denote respectively: the section in which the conclusion is discussed; the evidence upon which I base my conclusion and the methodological implications of my assertions. The chapter and thesis conclude by returning to the issue of outcome validity, which is regarded as the primary indicator of quality from a pragmatic perspective. Within this section, I not only discuss my overall contribution to knowledge, but also the impact upon NGO practice and the impact of the inquiry upon the lives of all those who were involved.

FINDINGS	SECTION TITLE	EVIDENCE	IMPLICATIONS
AN APPROACH WHICH EXHIBITS SYNERGY WITH THE VALUES OF SOCIAL WORK	VALUE-BASED PRAGMATISM	*The inquiry challenged conceptions and highlighted different strands of pragmatism. The approach's relevance to social work is demonstrated, particularly in relation to the original work of John Dewey and his commitment to social justice*	*The inquiry reasserted Dewey's original interpretation of pragmatism, with its social justice and emancipatory aims. Whilst relevance to social work has been highlighted this subject may require further exploration.*
AN APPROACH WIDELY MISUNDERSTOOD AND CHALLENGING TO COMMUNICATE	MISCONCEPTIONS AND INSIGHTS INTO COMPLEXITY	*The initial stages of implementation required several attempts of explanation and a series of negotiations. Data highlighted initial confusion regarding the inquiry. The pragmatic approach conceptually limits the ability to transfer knowledge.*	*This thesis was presented to communicate the conditions that warranted assertion. The usefulness of this inquiry to other contexts would require further action and reflection.*
A THEORETICALLY INFORMED APPROACH	THEORETICAL MAPS FOR ACTION	*The practice model enabled theories to be tested and refined. For example systems theory was utilised but it is proposed that complexity theory may be more relevant.*	*Utilising Dewey's pragmatic approach allowed theory to be tested and developed. In doing so, misconceptions that pragmatism is atheoretical were contested.*
AN APPROACH WHICH WAS ABLE TO HIGHLIGHT COMPLEXITY	INSIGHTS INTO COMPLEXITY	*By exploring practice and change in a participatory manner, this inquiry was able to highlight context complexity and the complexity of accountability relationships*	*The inquiry highlighted the importance of experience and action in understanding social issues. It is argued that the complex nature of the findings would not have been uncovered without focusing upon change.*
AN APPROACH WHICH FACILITATES ETHICAL RESEARCH IN CHALLENGING ENVIRONMENTS	RESPONSIVENESS AND ETHICAL RIGOUR	*The methodology passed various ethical assessments by external bodies and acquired consent to proceed from all actors involved. It also developed various ethical systems that have been adopted by the partner NGO.*	*The ethical process utilised in this inquiry was viewed as robust. The methodology would need further assessment in different contexts and actors. The safe limits are unknown. The outputs and processes developed may be useful for other researchers and practitioners.*
AN APPROACH WHICH CAN CONTRIBUTE TO BRIDGING THE RESEARCH - PRACTICE GAP	VALUE-BASED PRAGMATISM AND OUTCOME VALIDITY	*The approach adopted led to an inquiry involving practitioners and academics which was sustained over a year and a half.*	*Deweyan informed action research holds promise that it may assist in the bringing together of practitioners and academics but this inquiry would need to be assessed in different contexts with different actors involved.*
AN APPROACH WHICH CREATES REAL WORLD CHANGE	OUTCOME VALIDITY	*The inquiry led to real world change such as business start-ups and increased collaboration between different actors*	*This inquiry managed to generate real-world change. The nature and purpose of research contested.*

VALUE-BASED PRAGMATISM

One of my first methodological conclusions pertains to the value-based nature of pragmatism and to my own personal journey of methodological action and reflection. As discussed in the methodology, when I began this inquiry I identified action research as a possible approach due to its practice-orientated nature. I then identified Dewey and pragmatism as a common link amongst the methodologies that I viewed as in synergy with my own social work values. I did not initially recognise the connection between pragmatism and social work, but as I learnt about Dewey's original intentions and the primary purpose of pragmatism, it became clear why this author and research approaches linked to this author had stood out to me.

Dewey extended the implications of Pierce's use of the pragmatic maxim to use pragmatism as a means for philosophy to address the needs of living human beings; whilst Pierce supplied the intellectual backbone Dewey's work was viewed as having 'important consequences for education, social reconstruction and revitalisation of democracy' (Bernstein, 1971:201). Dewey's articulation of Pierce's pragmatic maxim sought to highlight 'the moral importance of the social sciences — their role in widening and deepening our sense of community and of the possibilities open to this community' (Rorty, 1994:203). Throughout his career, Dewey frequently worked with pragmatist and Nobel Peace prize laureate Jane Addams (1860 –1935); Addams was noted for her development of the field of social work in America (Whipps, 2013). In the 1920s Dewey, Mead and Addams worked alongside each other within a settlement house for European immigrants and women; it is noted that authors such as Habermas were greatly influenced by Mead's theory of communication that was developed at this time. Dewey, Mead and Addams aspired to develop pragmatism as an approach to philosophy that would improve 'people's social and democratic participation in society and to establish social equality and social justice' (Boog, 2003a:429); aims which are similar to those articulated by social work practitioners today. Dewey believed that all human experience is valid and that all individuals are capable of inquiry. He stated that 'respect for the things of experience alone brings with its respect for others' (Hildebrand, 2008:207). The process of inquiry was viewed as being equally important to the end result; in his work on education and democracy, he believed that the collaborative process of inquiry which respects experience could in itself bring social change: he stated that the solutions to problems 'can be found in social action mediated by education' (Abdi cited in Shyman, 2011:1044).

The methodological development of this inquiry was informed by Dewey's extensive work on pragmatism. I chose Deweyan pragmatism because I viewed it as distinctively critical; I viewed his

values as distinct from other pragmatic authors. Demonstrating a commitment to equality and social justice Dewey states:

> *'All social institutions have a meaning, a purpose ... to set free and to develop the capacities of human individuals without respect to race, sex, class or economic status . .. the test of their value is the extent to which they educate every individual into the full stature of this possibility. Democracy has many meanings, but if it has a moral meaning, it is found in resolving that the supreme test of all political institutions and industrial arrangements shall be the contribution they make to the all-around growth of every member of society'*
> *(Dewey, 1920:191)*

This study has indicated that a Deweyan informed approach to action research may be of relevance to the field of social work inquiry. Importantly it has been highlighted that Deweyan pragmatism, as with social work research, is concerned with finding practical means of creating social change. It has been noted that Dewey's cycle of action and reflection has informed numerous action research methodologies, which seek to enhance social work practice and to create social change, and that when used in this inquiry, social change and improved social work practice was possible. As noted by the IFSW (2014) principles of social justice, human rights, collective responsibility and respect for diversities are central to social work. I believe that Deweyan pragmatism is a means of articulating these core values of international social work. The Deweyan informed methodology articulated a commitment to human rights by facilitating participation and equality in the research process; there was a strong belief that all individuals have the right to partake in inquiry and that all experience should be respected. The process also encouraged collective responsibility by engaging numerous accountability actors who were previously at odds with each other; although not a panacea, there is evidence to suggest that the process of collaboration supported stereotypes to be broken down, and more positive relationships to be nurtured.

MISCONCEPTIONS

Whilst the primary purpose was to explore the subject of NGO accountability, this inquiry also led to a methodological contribution to knowledge through the detailed articulation of the process and the theory which informed it. As highlighted by Caspary, 'action research is often understood only at the level of method' (2008:603). Within this inquiry, I have been meticulous about my use of language and theoretical presentation of Deweyan pragmatism; a decision was made to ensure a distinction between pragmatic authors and to avoid an erroneous representation of the classical pragmatic works.

It is noted that pragmatism describes a vast array of authorship; in 1908 Lovejoy highlighted what he regarded as 13 logically distinct theses of pragmatism. At this stage, Dewey was not yet

mentioned. It is noted that pragmatists often hold views which appear contrary to one another; even among the classical pragmatists there are distinct, and sometimes fierce, differences of opinion. The dispute between Pierce and James is perhaps most notable: objecting to interpretations of his original work, Pierce stopped using the term pragmatism and switched to the term *pragmaticism*; a term he considered so ugly, it would be protected from philosophical kidnappers (Talisse and Aikin, 2008:9). Whilst some action research authors draw from the pragmatist work of William James (1842–1910), many other action research methodologies are based on the work of John Dewey (1859–1952). The two pragmatists had very different interpretations of Pierce's pragmatic maxim which has led to different traditions of action research. Kadlec (2006) views Dewey's work as distinct from other classical pragmatists due to his unique critical edge; she refers to his work as 'critical pragmatism'.

In a statement which fails to note the differences between the various strands of pragmatism, Trinder asserts that pragmatism is anti-theoretical in regards to politics and power; she states that in this regard 'pragmatism is unable to mount a theoretical analysis or defence' (Trinder, 1996:244). Such a statement might be described by Webb (2007) as 'vulgar pragmatism[51]' or 'phantom pragmatism[52], as the term has been used as if pragmatism presents an anti-theoretical and homogenous approach. Whilst Bernstein notes that the term is often reduced to little more than 'the pernicious slogan that all inquiry, knowledge and thought is for the sake of action (Bernstein, 1971:173) Pierce, who first created the term pragmatism, was keen to highlight that if pragmatism 'really made Doing to be the Be-all and the End-all of life that would be its death' (Bernstein, 1971:174).

Throughout this inquiry, I have attempted to demonstrate how pragmatism is, in fact, a well-considered theoretically-informed approach. As Caspary highlights, 'Much of the criticism of Dewey on power is based simply on failure to read him thoroughly' (Caspary, 2008:3). It might be argued that Dewey does not offer the same degree of sophistication in his understanding of power as other critical theorists, but to assert that he had no concept of power and inequality would highlight a failure to have read any of his original works. For example, critical theorist Honneth asserts that 'Dewey's mature conception [of democracy] represents Marx's legacy, without taking over his mistakes' (Honneth, 1998:777). Often authors fail to recognise that many critical theorists

[51] Webb (2007) refers to vulgar pragmatism as often used within journalism to refer to shallow unprincipled expediency with lack of moral or ideological consistency

[52] Webb (2007) refers to phantom pragmatism in describing how the term pragmatism is used, even by professional philosophers, without proper understanding of classical pragmatism; it is phantom, as this interpretation cannot be attributed to any known author of classical pragmatism

draw from pragmatism or that pragmatism and critical theory share many of the same origins; as highlighted by Frega both are 'rooted in the tradition of German philosophy from Kant to Marx' (Frega, 2014:59). Ormerod highlights Dewey's commitment to addressing issues of power and inequality: he states that he was a well-known and 'tireless critic of economic injustice and oligarchy' (2005:901). Whilst the language may be somewhat unfamiliar, Dewey exhibits an understanding that was far ahead of its time. He discusses what he describes as the 'labouring' and 'leisure classes', asserting a belief that the leisure class exerted 'power over resources, disproportionate influence in government, power over communications media, and power over social capital, as well' (Caspary, 2008:2).

However, whilst Dewey exhibited an undoubtedly critical edge, and was alert to issues of power and inequality, there are distinct differences between his work and other critical theorists. Dewey was particularly sceptical of philosophers who create utopian ideals without offering practical means of arriving at such a point. He stated that many philosophers do not face the 'hard tangled realities that confront us' (Bernstein, 1971:202). In his approach referred to as Melorism, Dewey believed that life was neither perfectly good nor perfectly bad. He argued that deconstruction was not productive, if not accompanied by reconstruction (Hildebrand, 2008). Dewey argued that, rather than focusing on some transcendental idea of justice and perfect social arrangements, we should 'look to remove pragmatically what can be seen comparatively to be injustices' (Sen cited in Bridge, 2014:1650). Whilst demonstrating an understanding of power and emancipatory aspirations, Dewey tends to be less radical; Dewey is more about evolution[53] than revolution.

Rorty (1994), like Honneth, compares the work of Dewey, against another critical theorist, Foucault. He argues that Dewey has already gone the route Foucault is travelling and arrived at the point Foucault is still trying to reach. Rorty states, 'Dewey and Foucault make exactly the same criticism of the tradition. They agree, right down the line, about the need to abandon traditional notions of rationality, objectivity, method, and truth' (Rorty, 1994:203). However, Dewey's deconstruction of social structure, power and inequality are offered with an accompaniment of reconstruction. For example, Dewey deconstructed theories of knowledge; he recognised power and inequality were evident in its generation, stating that 'knowledge is an indispensable medium of our hopes and fears, of loves and hates' (1896:282). However, in his construction of intelligent inquiry he also offered an alternative and way to move forward. He states:

[53] In 1909 Dewey wrote about the influence of Darwinism on philosophy. Some of his ideas on the evolution of knowledge are based upon Darwin's work.

'Affections, desires, purposes, choices are going to endure as long as man is man […] Nothing could be sillier than to attempt to justify their existence at large; they are going to exist anyway. What is inevitable needs no proof for its existence. But these expressions of our nature need direction, and direction is possible only through knowledge' (Dewey, 1929:284).

Stark articulates a belief that a Deweyan informed action research approach 'is ultimately based on hope' (Stark, 2014:98). It is perhaps this sense of hope which first drew me to Dewey's pragmatism; whilst I recognised injustice and inequality, I wanted an approach that gave me hope of finding a solution to the challenges I witnessed.

The reader may have noted that whilst I read many of Dewey's original classical texts[54], I primarily cite secondary authors who write about his work. Bernstein highlighted his personal belief, that Dewey's work was incredibly ahead of its time, unequalled, but also incredibly ill-written. He stated that Dewey's work might represent how God would speak if God were 'inarticulate, but keenly desirous to tell you how it was' (Bernstein, 2010:25). I believe Dewey's work represents a rare genius, of which I am in awe. However, I can understand why his work has been so frequently misinterpreted. Whilst frustrated by misrepresentations, it has been exceptionally hard not to repeat them. I have tried to be meticulous about the representation of his work, but this has also led me to depend to a large degree on secondary authors whose work on Dewey tends to be more focused. As discussed, this inquiry has led me to conclude that Deweyan pragmatism should be re-evaluated in regards to its appropriateness for social work research. However, I make this assertion with a warning; it is essential to ensure this endeavour is undertaken with a thorough understanding of Dewey's classical texts and how they are unique from different strands of pragmatism.

INSIGHTS INTO COMPLEXITY

As discussed in the methodology, pragmatism is an approach that asserts that all experience is situated within an environing context that consists of material and social realities. When Dewey talks of transactions between mind and matter, *aka* experience, he is not just referring to 'the totality of transactions between sentient organisms and their environing situation' (Webb, 2007:1070). Thus, the concept of experience encompasses historical and collective experience that changes and informs our current and future transactions; our physical world, our personal and collective histories, as well as the actions of other individuals, are all acknowledged in shaping future

[54] Kant and the philosophic method (1884); Democracy and education; The Reflex Arc Concept in Psychology (1896); The Influence of Darwin on Philosophy, and Other Essays in Contemporary Thought (1910); The quest for certainty (1929); How we think (1933); Experience and education (1938); Knowing and the known (1948)

experiences. By adopting a multi-dimensional and practice-based approach, this inquiry was able to produce a highly detailed account of the reality of managing NGO accountability. Based on a practice setting data emerged from self-reflective accounts, collaborative evaluations, participant interviews, focus group discussions, observations and a document analysis. Dewey (1920) highlights the dangers of creating generalised solutions to complex problems; he states that these 'short-cut' solutions do not get rid of the problem, they only rid us of the feeling and consciousness of the problem. He states, that the first distinguishing characteristic of thinking is 'facing the facts – inquiry, minute and intensive scrutinizing, observation' (Dewey, 1920:140)

Through scrutiny of my experience, I realised that change was caused by a wide range of factors; from the physical environment to internalised oppressions. I also noted how change resulted from a wide scale of factors; from small individual factors such as the ability of a young person to afford lunch, to global factors such as the withdrawal of aid in response to international differences of beliefs regarding homosexuality. Furthermore, it is argued that by focusing on change it is possible to note the subtle manifestations and fluid nature of power. Lukes (1974) referred to *invisible power* as 'the most insidious use of power' because it keeps the conflict from emerging in the first place. This form of power can be very difficult to see, however, the methodology allowed time for relationships to develop. If action had not been attempted it might have been impossible. Bulmer asserts that the essence of society lies in an ongoing process of action - not in a posited structure of relations. Without action, any structure of relations between people is meaningless. He states that 'To be understood, a society must be seen and grasped in terms of the action that comprises it' (Blumer, 1969). Arguably this complexity would not have been accomplished without recognising the importance of experience or inter-subjectivity. By entering into the inquiry, I was better able to understand the day-to-day complexity that practitioners faced, and better able to build relationships with accountability actors who offered unique insights to this inquiry once a relationship of trust was established.

LIMITATIONS

As discussed above, the approach is not ontologically limited; it considers all facets of action and experience. However, whilst this responded to a gap in knowledge, it is also recognised that this inquiry produced a huge amount of data that was extremely challenging to manage, conceptualise and to communicate. As highlighted by Heikkinen *et al.* 'Action research reports are often narratives, located in the context of the evolving experiences of those involved' (Heikkinen *et al.*, 2007:5). Because action research often involves multiple events and multiple stakeholders, with potentially contrasting views, providing 'a truthful narrative that accurately represents the action

research and its outcomes is a complex moral and cognitive achievement' (Feldman, 2007:31). It is noted that I attempted to balance my views against key person interviews and focus group discussions, particularly within the impact assessment and mid-term evaluations. However, I also note that the data generated was predominantly informed by my perspective. The combination of my identity and the unique challenges encountered means that it is unlikely that the exact conditions of this inquiry would or could ever be replicated. As discussed previously, I recognise that initiating the inquiry and managing collaborations greatly depended on trust and my ability to utilise my professional identity. This raises questions as to whether the methodology would be replicable to someone without the same professional background. I would suggest that the methodology should be limited to practitioners or researchers with practice experience as the methodology may be too demanding for any individual who had no practice experience of the field they were inquiring about.

The inquiry focuses upon one NGO within one country, thus, issues of generalisability are raised. However, as Akowicz highlights, 'pragmatism is about discovering what works for each of us; it is not about generalisations' (Jarvis, 1998:43). Pragmatists assert a belief that all human endeavours and social relations are unique and never replicable. As Hammond highlights, pragmatists assert that all 'claims to knowledge, causality, and objectivity are provisional and contingent' (Hammond, 2013:608). Thus, it is argued that generalised research which masks the complexity of the social world is viewed as being less valid and less useful to practitioners as they cannot assess the conditions which warranted assertions. Whilst I believe that there is a limit to the generalisability of any knowledge, I also recognise that the depth to which I presented and analysed the conditions which warranted my assertions is substantive. This inquiry generated a huge amount of data and detailed to insights to practice. The data was collected in a detailed and methodical manner and thematically analysed in depth. The inquiry has gone far beyond a basic description of events. As such, I believe that the assertions I make are grounded within a robust methodological framework, which gives me confidence in making assertions.

As discussed, one of the major challenges of inquiry was related to collaboration: the need to explain the iterative process to those that engage; and the need to work within systems that were not designed with action research in mind. The collaborative nature of the inquiry caused many delays, as often work could not progress without substantive negotiation. It was noted previously that in Makindye it took over ten months for the youth-led research to acquire consent to proceed. Furthermore, as is evident by the number of times I went through the process of submitting ethical applications, many individuals and systems were challenged by the inability to pre-define every

aspect of the methodology. As highlighted by Mullender et al. in genuine group-work approaches, 'groups develop a life of their own over which the group worker cannot ever have complete control' (Mullender *et al.*, 2013:9). At the start of this inquiry I could not fully predict the direction, it would take and this caused problems in explanation and in attaining ethical approval.

RESPONSIVENESS AND ETHICAL RIGOUR

Whilst collaboration proved troublesome, and the iterative nature of the inquiry was difficult to describe, it was these aspects of the methodological design which also enhanced ethical rigour. One of the key indicators of quality and rigour for this inquiry was identified as a commitment to ethical research. I believe that this inquiry demonstrates a process that, whilst presented with numerous ethical challenges, went above and beyond what was required. Prior to departure, extensive risk assessments were undertaken and mechanisms put in place to ensure my safety. As the start-up stage began, the iterative nature of the action research process initially caused technical challenges. I was required to submit seven different ethical proposals and numerous amendments. The international and collaborative nature of the inquiry meant that initially every change had to be agreed by numerous different actors. A desire to ensure the safety and wellbeing of those involved led to consent also being sought from local police chiefs, the district education officer, LC1, LC2, and LC3 level leaders, the mayor of each division and some traditional leaders. Before the research began several tools were developed in collaboration with the NGO partner. During the inquiry, new ethical tools, such as the ethical guidance and PIP group training was developed. After every session with group members the facilitators undertook ethical reflection and in every weekly planning and review meeting, ethical issues were reviewed. The robust nature of the systems established meant that I was able to respond to sudden events such as the death of a participant and the Ebola breakout.

Webb (2012) strongly contests the 'absurd caricature' of pragmatism as amoral opportunism which is unconnected with either critical reasoning or social consequences; he states that 'even a casual acquaintance with Dewey's work on ethics would demonstrate the fallacy of this position' (2012:50). Deweyan informed action research is highly reflective and offers an opportunity for reflection and change. It is asserted that the integration of research and practice in line with a pragmatic orientation goes hand in hand with the researcher assuming responsibility for action' (Johansson and Lindhurt, 2008:112). As a practitioner and action researcher, I approached the inquiry from two directions. Research and practice ethics were given a great deal of attention throughout the inquiry.

The ethics systems developed for this inquiry went far beyond what was technically required; an ethical approach was adopted not just to meet external requirements but because there was an explicit commitment to ethical research and practice. Through utilising a practice model within the action research, the inquiry ensured quality by generating knowledge that was highly relevant to both the NGO and context. As Anderson and Herr note, action research as a 'Problem-based methodology provides a way of uncovering, evaluating and, if necessary, reconstructing these theories of action' (Anderson and Herr, 2005:15). As the inquiry evolved so did the ethical safeguards and tools. The cyclical nature of action research facilitated an ongoing process of action and reflection. After every group session and with every planning and review meeting ethics were considered and refined.

As Dewey points out, 'problems are constantly changing and, therefore, require conceptual tools which must be constantly refashioned to meet the new demands' (Flowers and Murphy cited in Shields, 2006:23). The collaborative nature increases the likelihood that issues will be identified and that the response will be culturally and contextually appropriate. Whilst challenges are presented by the evolving nature of action research, it is also part of what makes this research approach safe. It is argued that research can never be ethically non-problematic. By engaging with practitioners, researchers have greater recourse to response services and to safeguarding mechanisms. Heikkinen *et al.* assert that the criterion is not that good research should be ethically perfect and faultless, but that 'research should be able to analytically approach ethical questions and to propose solutions to them' (Heikkinen *et al.*, 2007:15).

THEORETICAL MAPS FOR ACTION

As discussed within the methodology chapter, an argument could be made for the case that pragmatism is ontologically neutral, anti-epistemological, anti-foundational or even anti-philosophical. However, to assert that all forms of pragmatism are anti-theoretical would denote a failure to have read Dewey; whilst Dewey did not believe in grand theories, he was a strong advocate for the use of theory within inquiry. As Goldkuhl (2008) highlights, classical pragmatism has a way of viewing theory as tools for practice; theories are viewed as instruments to manage the world. Building upon Dewey's concept of theoretical maps, this inquiry utilised theories to inform and understand change. In the creation of PIP the practice model I demonstrated how theory can be utilised as part of a Deweyan informed action research approach. As discussed, the original design of PIP the practice model was informed by critical theories, participatory theories, pragmatic theory and systems and systemic theory. By the end of the inquiry, I changed my views. As highlighted by Ormerod 'Pragmatism supports a theory of learning based on experience,

experimentation and action' (Ormerod, 2005:907). By utilising the PIP as a guide for enhancing NGO accountability, I was able to explore the appropriateness of these theories, in regards to understanding and enhancing NGO accountability. Through the inquiry, I realised that I had underestimated the importance of participatory theory; that I hadn't properly integrated pragmatic theory; that I needed to adopt more nuanced theories of power and empowerment; and that systems theory might be better replaced with complexity theory. **Appendix C2** summarises how my theoretical understanding of accountability changed through the inquiry. The theory is important to Dewey, and to most other pragmatists, who fully understand the classical texts; effectively pragmatism was created as a means of transforming ideas into practical change. As Smith highlights, above all else pragmatism asserts 'the belief that ideas make a difference in the world' (Smith cited in Talisse and Aikin, 2008:7).

OUTCOME VALIDITY

There is a belief among many action researchers that the theory-practice gap emerges as academic researchers tend to experience a different reality and utilise different types of knowledge. As highlighted in the literature review there was a belief that whilst there was a proliferation of material on NGO accountability, the gap in current knowledge related to an absence of practice-based contextual studies. To address this issue, one of the first decisions made related to the need to identify a methodology that would be able to explore the experience of NGO practitioners and which could identify practical knowledge. As highlighted by Habermas, 'knowledge and knowing can be of many different kinds and can serve many different interests' (cited in Johansson and Lindhult, 2008:112). As a consequence of its known application in various practice settings and its problem-solving nature, action research was identified as the most appropriate methodology for this inquiry. However, action research pertains to a methodological genre rather than a specific methodology, so the field was further narrowed based upon my explicit values as an international social work researcher. From the methodologies which remained, I found Dewey's uniquely critical approach to pragmatism as a common denominator.

Dewey stated that philosophy should not be 'a contemplative survey of existence nor an analysis of what is past and done with' (Dewey cited in Hildebrand, 2008:62). I was not primarily concerned with what had been; conversely, I was primarily driven by what could be. So, guided by Dewey's idea of conceptual maps, I sought to test and develop a theoretically informed practice model I named Participatory Inquiry in Practice (PIP). The explicit purpose of the practice model was to enhance NGO accountability. As highlighted by Ormerod, Deweyan pragmatists believe that knowledge should be regarded as 'an instrument for action rather than an object of disinterested

belief' (Ormerod, 2005). Development of the practice model marked not the end, but rather, the start of the inquiry: after developing the model, I travelled to Uganda and found an NGO partner who was to support the implementation of the practice model.

Informed by theories of Social Action, PIP the practice model manifested in the delivery of 96 group work sessions over the course of a year, and the delivery of three pieces of youth-led action research. The process was supported by me and two local facilitators; we were responsible for delivering PIP sessions, recording and evaluating every PIP session, ensuring ethical rigour and engaging in the weekly reflective practice. At this group-work stage of the inquiry, there were three dimensions of action research running concurrently. The PIP group members engaged in youth-led action research; The PIP facilitators were engaged in collaborative practitioner-based action research and I was engaged in my own individual process of action and reflection, which culminated in the production of this thesis.

The multi-dimensional action research methodology enabled me to acquire knowledge of a practitioner's experience in regards to NGO accountability. Furthermore, through transparently and rigorously recording and analysing my experience and the conditions which warranted my assertions, I was able to generate conclusions at both a practice and strategic level. It is argued that this inquiry has responded to the first aim of this inquiry, and to an evident gap in knowledge, as it led to a new understanding of practitioner experience in regards to NGO accountability; it offers a detailed record of events and a holistic view of NGO accountability, which is rare. In regards to the second aim, of identifying a functional means of enhancing accountability, the inquiry has made some progress. Although PIP the practice model is subject to limitations, significant progress has been made and the initial theoretical constructs of the model refined. PIP the practice model may not be the panacea for enhancing accountability, but it is evident that it had a positive impact on all forms of the NGO's accountability. Outcome validity is evident in the way this study generated new insights in regards to practitioner experience and in the progress made towards identifying a functional way in which accountability may be enhanced.

In addition to meeting the stated aims, this inquiry also led to important methodological findings. Rather than depending upon methodological texts on action research, I went back to the original works of Dewey. In doing so, I realised that much of the classical pragmatic texts had been misrepresented or combined, to the extent where Dewey's unique emancipatory and critical approach had almost been lost. This study accompanies a resurgence of interest in Dewey's classical works. To my knowledge, it is the only action research inquiry which has revisited the approach, as originally intended, within the NGO sector. I am excited and optimistic about what

Dewey's approach may have to offer in regards to solving complex practice-based problems in an ethical and value-driven way. Throughout this inquiry, I have attempted to highlight in detail the strengths of a pragmatic approach, but I have also been honest about how challenging the process was. McKay and Marshall argue that 'there has been scant attention paid to the reporting of the AR [Action Research] process itself' (Mckay and Marshall, 2001:46). The study offers detailed accounts not only of the technical challenges but of the emotional challenges of this demanding approach. Outcome validity is evident in the way this study offers insights into the action research process and the appropriateness of Deweyan informed pragmatism as a methodology for social work research.

As highlighted in the introduction, I began this inquiry with the desire to address the challenges I had encountered as an NGO practitioner. I, like many others, passionately believe that NGOs must be held to account for their actions. Trying your best, is not adequate when billions of dollars and the lives of some of the world's most vulnerable individuals are at stake. However, as a practitioner, I also recognised that the burden placed upon frontline practitioners was immense and that often the way in which practitioners juggle accountability demands is often unrecognised. Within this inquiry, I wanted to find a solution that was not only realistic but which was in line with my values as an international social work practitioner. This inquiry gave me a unique opportunity to explore and critically reflect upon my own practice. Whilst I hope this thesis demonstrates some of the knowledge acquired, I do not believe any text could adequately reflect how much I learnt. Whilst I may not have arrived at an ultimate answer to how to enhance NGO accountability, I also know that I am closer than I was before and that my practice has substantially improved. As such, I regard one of the most significant indicators of quality and outcome validity as the impact this inquiry had upon me.

Whilst I aspired to my own personal learning from the outset, I never truly imagined that this inquiry would have such a direct and tangible effect upon those it engaged. As discussed, the inquiry led to an empowerment of those involved. I regard the most important indicator of quality as being in relation to the impact this inquiry had upon the PIP group members. Outcome validity is evident in the way in which the PIP group members were empowered, in regards to how they engaged with accountability and more broadly in regards to their individual and collective agency. It is also evident in the changes which resulted from this inquiry how the PIP group members successfully raised awareness of urban crime and began their own youth-led business. It may be unconventional to claim that the most significant outcome of my doctoral thesis was in the actual changes made to the lives of 20 urban-dwelling youths. However, like Dewey, I fundamentally believe that the

purpose of all inquiry should be to improve the social world. From a pragmatist perspective, the means and the ends of inquiry are viewed as two names for the same reality, as the outcome of inquiry goes beyond the data produced. As Biesta and Burbles highlight, pragmatism provides us with a different way of thinking:

> *'the only world we have, the only world that really matters, so we could say is our common intersubjective world, the world in which we live and act together and for which we have shared responsibility. It is for this reason that the scope of intelligence is not restricted to means, techniques and instruments, but includes also the domain of ends, purposes and values' (Biesta and Burbules, 2003:108)*

CHAPTER 7: REFERENCES

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PARTICIPATORY INQUIRY IN PRACTICE [PIP]

VOLUME 2

APPENDICES

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SUBMITTED IN ACCORDANCE WITH THE REQUIREMENTS FOR THE DEGREE OF PHD IN INTERNATIONAL SOCIAL WORK

DE MONTFORT UNIVERSITY, ENGLAND - 2015

APPENDIX A: SUPPORTING DOCS FOR LITERATURE REVIEW

APPENDIX A1: LITERATURE REVIEW METHODOLOGY

'NGO accountability' was primarily used as a key search term within this literature review.

Literature originating from different geographical, historical or disciplinary contexts may sub-define or give preference to alternate terms; to only search the term accountability and NGOs would bias the results. As such, accountability was also searched for in conjunction with NGO alternate terminology such as: International NGO (INGO); Civil Society Organisations (CSO); Religious-Based Organisations (RBOs); Southern NGO (SNGO); Southern Development NGO (SDNGO), Community Based Organisations (CBO), Northern NGOs (NNGO); Northern Development NGOs (NDNGO); Non-Governmental Development Organisation (NGDO); Transnational NGO (TNGO); humanitarian organisations; not-for-profit organisations; non-profit organisations and charities.

Whilst interest in accountability stretches back 100s of years, preliminary reading highlighted that it was in fact from the 1990s in which the specific concept of 'NGO accountability' gained prominence; as such, a decision was made to prioritise literature from this point onwards. Traditional academic literature was sought for this literature review, but it should also be noted that grey literature was recognised / incorporated to ensure representation of current discourse originating from the NGO sector itself. Preference was given to documents with titles containing NGO accountability; frequently cited key documents; documents published by African authors; and any document pertaining specifically to Uganda. This literature review encompassed:

- Academic database search: (SCOPUS), Applied Social Sciences Index and Abstracts (ASSIA), Academic Search Premier (EBSCO Host)
- Search of texts held at the British Library pertaining to 'NGO accountability'
- Search of sector-specific databases and catalogues: ALNAP, BOND, ELDIS, United Nations (via UNICEF and OCHA), ODI, OneWorld Trust, GSDRC
- Search of documents signposted by NGOs: Particularly those signposted by INGOs, NGOs with an explicit interest in accountability and Ugandan NGOs

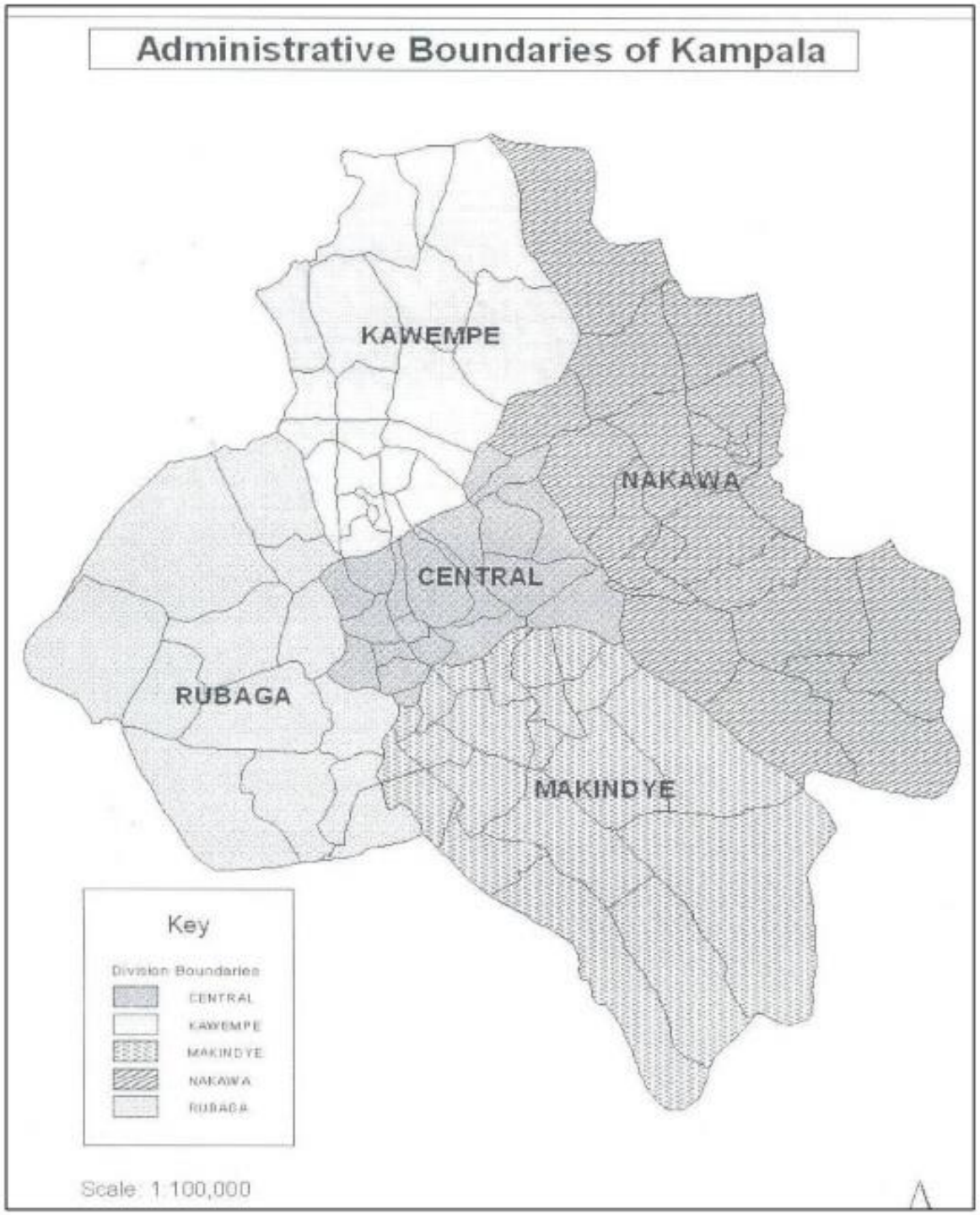
Literature was limited to English texts and texts translated into English.

APPENDIX A2: MAP OF UGANDA

Map No. 3862 Rev. 4 UNITED NATIONS

Department of Public Information

APPENDIX A3: ADMINISTRATIVE DIVISIONS OF KAMPALA



APPENDIX A4: NGO ACCOUNTABILITY MECHANISMS RELEVANT TO THIS STUDY

GENERAL DESCRIPTION OF ACCOUNTABILITY MECHANISMS

INTERNAL MECHANISMS USED TO ENHANCE NGO ACCOUNTABILITY

- ***Mission and vision:*** *the NGO's mission and vision can be explicitly used as a tool or benchmark for enhancing NGO accountability*
- ***Board of trustees:*** *the NGO's board of trustees are frequently used as a mechanism for enhancing NGO accountability*
- ***NGO defined self-regulation and management systems:*** *internal self-regulation systems have been utilised as a mechanism for NGO accountability*
- ***Strategic planning and annual reviews:*** *strategic planning and annual reviews have been utilised as a mechanism for NGO accountability*
- ***Monitoring and evaluation:*** *monitoring and evaluation tools are frequently utilised as a mechanism for enhancing NGO accountability*
- ***Accountability frameworks:*** *Organisationally specific accountability frameworks have been designed to enhance NGO accountability*
- ***Information dissemination:*** *information dissemination has often been utilised by NGOs to enhance legitimacy and accountability*
- ***Participation:*** *consultation, feedback and participation initiatives have been frequently utilised as a mechanism for NGO accountability*

EXTERNAL MECHANISMS USED TO ENHANCE NGO ACCOUNTABILITY

- ***Explicit legislation and legal control:*** *legislation and legal control explicitly intended for NGOs has been utilised by various governments with the explicit aim of enhancing NGO accountability.*
- ***Non-explicit legislation****: legislation, whilst not explicitly created for NGOs or to enhance accountability, has been used as a mechanism for NGOs to ensure accountability of their own organisation or of external actors.*
- ***Benchmarks:*** *benchmarks used as explicitly or non-explicitly designed as a mechanism to ensure NGO accountability.*
- ***Accountability clubs, certification schemes and self-assessments:*** *numerous resources, processes, training, guides and tools have been designed to support the enhancement of NGO accountability.*
- ***Accountability tools, guides and resources:*** *Various resources, processes, training, guides and tools, whilst not explicitly designed to enhance accountability are frequently used by NGOs mechanisms to enhance NGO accountability.*
- ***Reporting systems:*** *NGOs' human rights, fair trade, environmental or donor reporting systems, with the explicit aim of holding powerful actors to account on behalf of less powerful actors.*
- ***Public media:*** *Use of the public media by NGOs to hold powerful actors to account on behalf of less powerful actors.*

Human rights conventions and protocols ratified by the government of Uganda

- International Covenant on Civil and Political Rights: ratified 1995
- Optional Protocol to ICCPR: ratified 1995
- International Covenant on Economic, Social, and Cultural Rights (ICESCR): ratified 1987
- International Convention on the Elimination of All Forms of Racial Discrimination (CERD): ratified 1980
- Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW): ratified 1985
- United Nations Convention on the Rights of the Child (UNCRC): ratified 1990
- International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families: ratified 1995
- Convention on the Rights of Persons with Disabilities: ratified 2008
- African Charter on Human and Peoples' Rights: ratified 1986
- African Charter on the Rights and Welfare of the Child: ratified 1994
- Treaty Establishing the African Economic Community: ratified 2001
- Protocol to the African Charter on Human and Peoples' Rights on the Establishment of an African Court on Human and Peoples' Rights

Human rights conventions and protocols not ratified by the government of Uganda

- Optional Protocol to the Convention on the Elimination of Discrimination Against Women (CEDAW)
- Optional Protocol to ICESCR
- Protocol to the African Charter on Human and Peoples' Rights on the Rights of Women in Africa

Several key events and treaties highlight NGOs' key role in holding Donors to account

- The Istanbul Principles
- The Paris Declaration on Aid Effectiveness (2005)
- the Accra Agenda for Action (2011)
- Busan Partnership for Effective Development Co-operation

Accountability mechanisms to monitor and set standards for donor accountability

- The UK government's Dev tracker
- Humanitarian Response Index
- International Aid Transparency Initiative (IATI)
- Index of global accountability
- Declaration of Good Humanitarian Donorship
- DARA

Legislation and legal controls to NGOs in Uganda

Laws / acts / policies that are intended for NGOs

- CSO Minimum agenda (2004)
- NGO Registration Act (1989)
- NGO Regulations (1990)
- NGO Registration (Amendment) Act (2006)
- NGO Registration regulations (2009)
- National NGO Policy (2008)
- National NGO Policy (2012)

Constitution/ laws / acts / policies / government plans; examples that refer to NGOs within their articles

- The Constitution of Uganda (1995)
- The National Development plan (2010)
- Budget Act of 2001 (2001)
- District Development plan (under redevelopment for Kampala at the time of this study)
- The National Strategic Programme Plan of Interventions (2005)
- The National Orphans and Vulnerable Children's Plan (2004)
- City council of Kampala OVC strategic plan (2008)
- Local Government Act (1997)
- The National Equal Opportunities Policy (2006)
- The Policy on the Universal Primary Education (2002)

- The Constitution of the Republic of Uganda (1995)
- The Local Governments Act (1997)
- The Budget Act (2001)
- The Public Finance and Accountability Act (2003)
- The Inspectorate of Government Act
- The Leadership Code Act (2002)
- The Public Procurement and Disposal of Public Assets Act
- The Access to Information Act (2005)
- The National Audit Act (2008)
- The Whistleblower's Protection Act (2010)
- The Anti-Money Laundering Bill (2005)
- The Electronic Transaction Act (2011)
- Computer Misuse Act (2011)

APPENDIX B: PIP THE PRACTICE MODEL

APPENDIX B1: THE ORIGINAL DESIGN OF PIP THE PRACTICE MODEL

KEY ASPECT	DESCRIPTION	RELEVANT RESOURCES / THEORIES	ACCOUNTABILITY CHALLENGE	DESIGN FEATURE
PARTICIPATORY PIP	PARTICIPATORY PIP SOUGHT TO ENHANCE PARTICIPATORY PRACTICE AS A MEANS OF ENHANCING NGO ACCOUNTABILITY	GENERAL THEORIES OF PARTICIPATION AND PARTICIPATORY RESEARCH; **SOCIAL ACTION**	DOWNWARD ACCOUNTABILITY OFTEN MARGINALISED	ENHANCE DOWNWARD ACCOUNTABILITY
			WEAKEST ASPECT OF UPWARD, INTERNAL, HORIZONTAL AND BY PROXY ACCOUNTABILITY IS OFTEN VIEWED AS PARTICIPATION	ENHANCE DOWNWARD ACCOUNTABILITY
			DOWNWARD ACCOUNTABILITY REQUIRES PARTICIPATION	**USE SOCIAL ACTION INFORMED GROUP WORK** TO ENHANCE PRACTICE
			ACCOUNTABILITY SYSTEMS ARE NOT APPROPRIATELY DESIGNED FOR BENEFICIARY ENGAGEMENT	**USE SOCIAL ACTION INFORMED GROUP WORK** TO ENHANCE PRACTICE
			ACCOUNTABILITY MECHANISMS OFTEN FAIL IN REGARDS TO PARTICIPATION OF LOCAL COMMUNITIES AND BENEFICIARIES	**USE SOCIAL ACTION INFORMED GROUP WORK** TO ENHANCE PRACTICE
			KNOWLEDGE PRODUCED FOR ACCOUNTABILITY PURPOSES IS OFTEN CONTROLLED BY MORE POWERFUL STAKEHOLDERS	**USE SOCIAL ACTION INFORMED GROUP WORK** TO SUPPORT KNOWLEDGE GENERATION
			KNOWLEDGE PRODUCED VIA PARTICIPATION IS OFTEN NOT VIEWED BY ACCOUNTABILITY STAKEHOLDERS AS USEFUL	TRAIN PARTICIPANTS IN RESEARCH METHODS. ASSERT PARTICIPATORY PARADIGM IS A DIFFERENT ONTOLOGICAL VIEW POINT – VALID KNOWLEDGE IS STILL PRODUCED
			WE CAN'T QUANTIFY THE IMPACT OF PARTICIPATION	ASSERT PARTICIPATION IS A RIGHT – WE SHOULDN'T HAVE TO JUSTIFY PARTICIPATION BY MEASURING IMPACT; ASSERT NEED TO THINK ABOUT DIFFERENT MEASURES OF VALIDITY; LET PARTICIPANTS DECIDE OWN IMPACT INDICATORS
	DRAWING PREDOMINANTLY FROM SOCIAL ACTION: PARTICIPATORY PIP WAS DESIGNED TO AVOID COMMON CHALLENGES OF		DIFFERENT PEOPLE DIFFERENT VIEWS ON PARTICIPATION	EXPLORE DIFFERENT ACCOUNTABILITY ACTORS' DEFINITION OF PARTICIPATION
			MEANING OF PARTICIPATION OFTEN NOT CLEAR	CLEARLY ARTICULATE COMMITMENT TO AUTHENTIC PARTICIPATION
			FACILITATORS CAN LOSE CONTROL OVER AGENDA; PARTICIPANTS MAY OVER DISCLOSE	CREATE CLEAR ETHICAL PROTOCOLS AND SAFEGUARDS
			PARTICIPATION CAN BE TOO PATERNALISTIC	RESPECT YP KNOWLEDGE AND EXPERIENCE ASPIRE TO AUTHENTIC PARTICIPATION
			PEOPLE'S TIME NOT COSTLESS; PARTICIPANTS NEED TO BENEFIT TOO	DISCUSS WITH PARTNER NGO SUITABLE BENEFICENCE; LIMITED RESOURCES AVAILABLE

KEY ASPECT	DESCRIPTION	RELEVANT RESOURCES / THEORIES	ACCOUNTABILITY CHALLENGE	DESIGN FEATURE
	PARTICIPATION		PARTICIPATION MUST BE CONTEXT SENSITIVE	WORK WITH A LOCAL PARTNER
			NEED TIME FOR TRUST TO BUILD	INQUIRY TO TAKE PLACE OVER A YEAR
			NEED TIME TO UNDERSTAND CONTEXT	INQUIRY TO TAKE PLACE OVER A YEAR, START-UP PERIOD NEEDED, LIT REVIEW ON COUNTRY NEEDED
			NEED TIME FOR FACILITATOR TRAINING TO BE SAFE	INDUCTION FOR FACILITATORS REQUIRED
CRITICAL PIP	CRITICAL PIP EXPLICITLY SOUGHT TO ADDRESS POWER IMBALANCES BETWEEN DIFFERENT ACCOUNTABILITY ACTORS	CRITICAL THEORY; **SOCIAL ACTION**	DOWNWARD ACCOUNTABILITY ACTORS OFTEN LESS POWERFUL	ENHANCE DOWNWARD ACCOUNTABILITY: ASSERT THAT DOWNWARD ACCOUNTABILITY ACTORS SHOULD BE EQUAL; **EMPOWER DOWNWARD ACCOUNTABILITY ACTORS**
			UPWARD ACCOUNTABILITY ACTORS OFTEN DON'T WANT TO BE HELD TO ACCOUNT	TRAIN DOWNWARD ACCOUNTABILITY ACTORS ON ACCOUNTABILITY AND INFORM THEM OF THEIR RIGHTS
			DOWNWARD ACCOUNTABILITY ACTORS OFTEN NOT INVOLVED IN PROJECT DESIGN	**USE SOCIAL ACTION INFORMED GROUP WORK**: INVOLVE DOWNWARD ACCOUNTABILITY ACTORS IN PROPOSAL WRITING
			DOWNWARD ACCOUNTABILITY ACTORS OFTEN NOT INVOLVED IN PROJECT IMPLEMENTATION	**USE SOCIAL ACTION INFORMED GROUP WORK**: SUPPORT DOWNWARD ACCOUNTABILITY ACTORS TO TAKE ACTION
			DOWNWARD ACCOUNTABILITY ACTORS OFTEN NOT INVOLVED IN MONITORING AND EVALUATION	**USE SOCIAL ACTION INFORMED GROUP WORK:** SUPPORT DOWNWARD ACCOUNTABILITY ACTORS TO MONITOR AND REFLECT UPON THEIR ACTION
			DOWNWARD ACCOUNTABILITY ACTORS OFTEN DON'T UNDERSTAND ACCOUNTABILITY	**CREATE A FRAMEWORK AND DEFINITION OF ACCOUNTABILITY:** CREATE A SIMPLE WAY TO EXPLAIN ACCOUNTABILITY IN ITS DIFFERENT FORMS, AND A DEFINITION WHICH IS CLEAR AND SIMPLE (NOTE: EXPLAINED IN LITERATURE REVIEW CHAPTER)
			PARTICIPATORY APPROACHES OFTEN ARE NOT REFLEXIVE TO ISSUES OF POWER AND INEQUALITY	**USE SOCIAL ACTION INFORMED GROUP WORK:** A POWER SENSITIVE APPROACH TO PARTICIPATION
			PARTICIPATION IS OFTEN TOKENISTIC AND MAINTAINS THE STATUS QUO	ENCOURAGE AUTHENTIC PARTICIPATION: **USE SOCIAL ACTION INFORMED GROUP WORK**
	CRITICAL PIP SOUGHT TO ADDRESS POWER IMBALANCE EVIDENT IN KNOWLEDGE GENERATION		KNOWLEDGE USED TO DECIDE RESPONSIBLE ACTION IS OFTEN GENERATED BY THE MOST POWERFUL ACCOUNTABILITY ACTORS	**USE SOCIAL ACTION INFORMED GROUP WORK:** INVOLVE DOWNWARD ACCOUNTABILITY ACTORS IN KNOWLEDGE GENERATION
			RESEARCH AGENDAS ARE OFTEN DECIDED BY THE MOST POWERFUL ACCOUNTABILITY ACTORS	**USE SOCIAL ACTION INFORMED GROUP WORK:** LET DOWNWARD ACCOUNTABILITY ACTORS EXPLORE ISSUES WHICH MATTER TO THEM
			RESEARCH PROCESS IS OFTEN DOMINATED BY MOST POWERFUL ACCOUNTABILITY ACTORS	**USE SOCIAL ACTION INFORMED GROUP WORK:** SUPPORT DOWNWARD ACCOUNTABILITY ACTORS TO CONDUCT THEIR OWN RESEARCH
			ANALYSIS OF DATA AND MEANING OF DATA OFTEN UNDERTAKEN BY MOST POWERFUL ACCOUNTABILITY	**USE SOCIAL ACTION INFORMED GROUP WORK:** SUPPORT DOWNWARD ACCOUNTABILITY ACTORS TO ANALYSE DATA AND TO EXPLORE MEANING OF DATA

Key aspect	Description	Relevant resources / theories	Accountability challenge	Design feature
			actors	
			Research results are often not shared with downward accountability actors	**Use Social Action informed group work:** support downward accountability actors to disseminate findings within their community
			Language and terminology often excludes downward accountability actors	Simplify language and terminology; teach downward accountability actors language and terminology
Systemic PIP	Systemic PIP integrated systems theory by looking at NGO accountability in a holistic way which recognised different forms of accountability and the inter-relationship between different accountability actors	Informed by: General Systems Theory; Soft Systems Theory; Systemic theory; Social Ecological theory; **Social Action**	Accountability perspectives tend to be narrowly focused: People only look at what they perceive to be accountability	Encourage a holistic understanding of accountability; bring together different accountability actors within a steering group; offer training on accountability **Create a framework and definition of accountability:** create a simple way to explain accountability in its different forms, and a definition which is clear and simple (note: explained in literature review chapter)
			Accountability perspectives tend to be myopic: People only think about accountability in relation to short-term projects	The practice model should not be constrained to a project; participants should be encouraged to think about what is responsible in the longer term; the inquiry will take place over a year
			Accountability perspectives tend to have a restricted ontology; only certain types of knowledge viewed as acceptable for demonstrating responsible action	Introduce and train participants in different approaches to knowledge generation
			Accountability actors often don't recognise inter-relationship with other actors	Bring together different accountability actors; offer training on accountability
			NGO practitioners often have to juggle multiple perspectives and demands	Create a model which acknowledge this challenge and which practitioners view as helpful; pilot the model
			There are too many accountability tools and mechanisms	Offer training on accountability; seek to implement activities which meet multiple standards; the design should incorporate multiple tools – designed to meet rather than to replicate or produce more. **Create a framework and definition of accountability:** create a simple way to explain accountability in its different forms, and a definition which is clear and simple (note: explained in literature review chapter)
	Systemic PIP		Accountability systems often exhibit a narrow view	Practice model should integrate social ecological theory into

Key aspect	Description	Relevant resources / theories	Accountability challenge	Design feature
	integrated systemic theory by exploring issues in a holistic way		of responsible action	activities to explore issues in a systemic way
			Participatory approaches often have too much local emphasis	**Use Social Action informed group work**
			Participatory approaches are not critical to wider issues of power and inequality	**Use Social Action informed group work**
Practical PIP	Practical PIP sought to ensure that the practice model was relevant to context and replicable for a local NGO	Pragmatism; **Social Action**	Accountability systems often do not understand context	Practice model designed in conjunction with the NGO; practice model informed by available literature; **practice model will be piloted**
			Accountability systems are often too costly	Practice model should aspire to minimal cost being incurred; **practice model will be piloted**
			Accountability systems are often too time-consuming	Practice model designed to be part of NGO's 'normal work'; **practice model will be piloted**
			Accountability systems are too bureaucratic	Practice model should be designed not to generate additional bureaucracy; **practice model will be piloted**
			Accountability systems are too theoretical	Practice model will be based on theories but will only expand on theory when necessary; practitioners will be presented with a simple design; **practice model will be piloted**
			Accountability requires experts and academics, systems may not be suitable for local staff	Practice model should be designed to be appropriate for staff in a local NGO; **practice model will be piloted**
			Accountability is viewed as being for external actors not for the NGO	Practice model designed in conjunction with the NGO. the model should be developed by practitioners in a way which they view as useful; **practice model will be piloted**
			There are no means to practically achieve ideals of participatory approaches	**Use Social Action informed group work:** this approach has a proven history within many practical contexts
	Practical PIP sought to integrate the NGO project management cycle with the Action research cycle		Accountability is seen as an add-on rather than being integrated with project management	Use an action research approach as this is similar to the project management cycle; The practice model will be integrated with NGO project management systems wherever possible
			Participatory approaches don't usually result in action	Use an action research approach; **Use Social Action informed group work:** this approach is designed to result in action

APPENDIX B2: LETTER USED IN START-UP TO INTRODUCE PRACTICE MODEL TO POTENTIAL NGO PARTNERS

An introduction to

Participatory Inquiry in Practice [PIP]:

A study exploring NGO accountability with children and young people in Kampala, Uganda

Lead Researcher - Adelaine Williams
PhD Researcher in International Social Work - De Montfort University, England

Purpose of the study

Through the use of 'action research' this study will explore accountability systems, standards and tools used by Non-Governmental Organisations (NGOs).

A core aim will be to identify replicable, practical and ethical systems and tools that can be realistically used by NGOs in practice.

Collaboration

The Lead Researcher and *Uganda Youth Development Link (UYDEL)* will collaborate together in order to run a small project in Kampala so that accountability systems and tools can be piloted.

Key stakeholders, practitioners, donors and specialists may be invited to join *advisory group* to offer their insight & expertise.

The scope

Located in *Kawempe* and *Makindye* divisions, the pilot project will be highly participatory, engaging with a core group of approximately 20 children and young people (aged 15-25) on a weekly basis.

Background

Accountability may be defined as ***'how one ensures and demonstrates responsibility'***. To some this means demonstrating to donors that finances are transparent and impact is measurable; to some this means ensuring that NGO projects are in line with Government priorities; to some this means ensuring internationally recognised minimum standards are met; to some this means ensuring that local communities are listened to and respected – to most it means all of the above.

There is a wealth of resources on accountability systems and tools, yet few NGOs feel in control, those that do probably shouldn't. **Tensions exist and the gap between theory and practice continues to expand because in reality NGO accountabilities are multiple, complex, and diffuse.** Monitoring & Evaluation (M&E) officers and programme managers are faced with the daunting task of having to juggle competing expectations and priorities.

This study is not about developing yet another toolkit or manual, it's about bringing together multiple different individuals with different perspectives - **drawing together the best from theory and practice to explore challenges, tensions, best practice and most importantly what works!**

PIP – Participatory Inquiry in Practice

From this study and collaboration an accountability model will be developed for Uganda Youth Development Link (UYDEL). The model will encompass suggestions for accountability system design, key tools and resources.

This **model known as PIP** (Participatory Inquiry in Practice) will be made publically available, as such it may also be utilised and adapted by similar NGOs who wish to enhance their accountability.

PIP will not be finalised until the end of the study but at the moment it's important to highlight 4 key dimensions of the model. PIP is: -

1. Participatory - Children and young people shall be involved at every stage of PIP. This will include problem identification; research; activity planning; monitoring; evaluation and impact assessment.
2. Systemic - PIP will utilise systems theory, to provide broad-based and holistic understanding of any given issue.
3. Critical - At every stage participants will be asked to critically consider power, equality, human rights and child rights dimensions.
4. Practice-based - To be sustainable all methodologies within the model will be developed with the intention that they should be replicable in practice.

Adelaine Williams

This study is funded by the UK Government's Economic Social Research Council (ESRC). As a PhD candidate from De Montfort University's department of Social Work, Adelaine is supervised by Professor Roger Smith and Jennie Fleming director of the Centre for Social Action.

Adelaine is also a Visiting Associate of Makerere University, Social Work and Social Administration Department - locally supervised by Dr Stella Neema. This study has been given ethical approval by De Montfort University and follows the ethical guidelines for research established by the British Association of Social Workers (BASW). The study is subject to approval attained from Uganda National Council for Science and Technology (UNCST).

Adelaine has worked in Malawi, Cambodia, Nepal, India, China and the UK in NGO programme management, monitoring, evaluation, teaching and youth work. Adelaine has also attained a Master's Degree (MRes) in Social Work Research; a Post-Graduate Diploma (PgDip) in Youth Work and Community Development and a Bachelors of Science (BSc) in International Disaster Management and Engineering.

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APPENDIX B3: PIP SUMMARY AND DATES OF MAJOR EVENTS OF PIP GROUPS

Week Beginning		Activities		Activities
23rd Jan	E1	Introduction – Mrs Irresponsible – My NGO	E1	Introduction – Mrs Irresponsible – My NGO
30th Jan	E2	Defining accountability – looking at local issues – ranking problems – tree analysis	E2	Defining accountability – looking at local issues – ranking problems – tree analysis
6th Feb	E3	Exploring accountability stakeholders and power relationships	E3	Exploring accountability stakeholders and power relationships
13th Feb	E4	What's my question: exploring the basic concept of research questions and selection of PIP group members	E4	What's my question: exploring the basic concept of research questions and selection of PIP group members
20th Feb				
27th Feb				
5th March				
12th March	1	Getting to know each other	1	Getting to know each other
19th March	2	Team work - setting ground rules - confidentiality	2	Team work - setting ground rules - confidentiality
26th March	3	Conflict resolution and exploring common experience	3	Exploring common experience – how to pick subject
2nd April	4	Exploring leadership	4	Exploring leadership – different types of research – initial development of basic research questions
9th April	5	Sick – no session	5	Recap – logo design – development and initial piloting of research questions
16th April	6	What is research? – logo design	6	Ethics case studies – fears and anxiety drawing
23rd April	7	Research design – decision change (not to hold community survey but to focus on unemployment)	7	Resolving fears and anxieties – do and do not list – plan for research – looking at the steps of research
30th April	8	How to do research – poverty tree analysis	8	Survey 1
7th May	9	Exploring poverty – definition of poverty – poverty ranking – rivers of experience	9	Analysis of survey
14th May	10	Focusing in on subject and creating goals	10	Selection of crime and insecurity as a theme - Initial discussion of crime – ground rules for discussions on sensitive subjects
21st May	11	Masooli planning and preparation	11	Independent session by girls – planning how to disseminate and Masooli visit
28th May	12	Developing research tool 1	12	Planning for Masooli – planning to disseminate initial findings
4th June	13	Looking at different types of research and Masooli trip planning	13	Defining poverty and insecurity – tree analysis of crime
11th June	14	Survey development	14	Looking again at Masooli plan – thinking about what they want to achieve – bringing it back to accountability
18th June	15	Getting back to accountability and Masooli planning	15	Planning for Masooli presentation
25th June	16	Final Masooli planning – practice	16	Final practice for Masooli
		Masooli trip (29th June)		Masooli trip (29th June)
2nd July	17	Development of funding proposal	17	Development of funding proposal
9th July	18	Reflection on Masooli and ethics – discussion – case study and drawings	18	Reflection on Masooli – exploring young people's thoughts on crime and insecurity
16th July	19	Intro statement and pilot of survey	19	Looking at media extracts on crime and insecurity – discussion of ethics – development of ethics guidelines
23rd July	20	Survey practice with scenarios – dissemination discussion – newsletter development – development of accountability questions	20	Prep for dissemination to YP – developing the newsletter
		Survey day 1 – 26th July		
30th July	21	Survey day 2 – 31st July	21	Discussion of research strategy – methods pros and cons
		Survey day 3 – 2nd Aug		
6th Aug	22	English and newsletter development	22	What is a research question - Research question

Week Beginning		Activities		Activities
				development
13th Aug	23	Action for education application	23	Action for education application
20th Aug	24	Survey day 4 – 21st Aug	24	Tribute session – remembrance and dealing with bereavement
27th Aug	25	Team building – discussion of research question	25	Team building activities and development of the research survey
3rd Sept	26	More about research questions - reflection of research findings – development of research question – team building game – photo consent	26	Dissemination of research findings to the other young people
10th Sept	27	Dissemination to other young people	27	Review of dissemination – training on interview skills – basic planning and pairing up – paired practice of interviews – semi – structured interview examples
17th Sept	28	Social ecology and review of dissemination	28	Looking at crime from a social ecological view point
24th Sept	29	Discussion of survey findings and activity planning	29	Review of draft survey – amendment of draft survey – survey planning – discussion of UYDEL strategic plan
1st Oct	30	Salon planning	30	Survey - day 1
				Survey – day 2
				Survey – day 3
8th Oct	31	Salon planning	31	Survey – day 4
				Survey – day 5
15th Oct	32	Salon planning	32	Team building games
		Signing salon contract – buying equipment		
		Salon Opening		
22nd Oct	33	Salon set up	33	Reflection on survey - Development of key person interviews
29th Oct	34	Salon set-up	34	Discussion of findings – identifying gaps in knowledge
		Graduation – 2nd Nov		
5th Nov	35	Salon set-up	35	Development of key person interviews – ethics discussions
12th Nov	36	Salon set-up	36	Piloting of key person interviews
19th Nov	37	Salon set-up	37	Key person interviews
		Finishing party and meeting Cecile – 23rd Nov		
26th Nov	38	Anna's visit to the salon	38	UYDEL manager's visit to the centre
3rd Dec	39	Delivered counter to the salon	39	Closing session – discussion of future actions
10th Dec	40		40	Newsletter development – leaflet development

APPENDIX C: FINDINGS

APPENDIX C1: NODE EXAMPLES AND MAJOR THEMES

KEY

REFERENCES		
❖ MID-TERM EVALUATIONS, DONOR ***(ME-D)***	❖ MID-TERM EVALUATIONS, UYDEL MANAGER ***(FE-UM)***	❖ SESSION EVALUATION, GROUP MEMBERS ***(VSE - GM)***
❖ MID-TERM EVALUATIONS, GROUP MEMBERS ***(ME-GM)***	❖ MONTHLY REPORT ***(MR-S)***	❖ SESSION EVALUATION, PIP FACILITATORS ***(SE-PF)***
❖ MID-TERM EVALUATIONS, LOCAL FACILITATOR ***(ME-LF)***	❖ PHOTO, GROUP ACTIVITY ***(P-GA)***	❖ SESSION PLAN, PIP FACILITATORS ***(SP-PF)***
❖ MID-TERM EVALUATIONS, LOCAL FACILITATORS ***(FE-LF)***	❖ PHOTO, GROUPS' WORK ***(P-GW)***	❖ SESSION SUMMARIES ***(SS-S)***
❖ MID-TERM EVALUATIONS, UYDEL MANAGER ***(ME-UM)***	❖ PIP SURVEY, MAKINDYE 1 ***(PIPS – K1)***	❖ SUPERVISION PREP ***(SP-S)***
	❖ PIP SURVEY, MAKINDYE 1 ***(PIPS – M1)***	❖ VIDEO, GROUP ACTIVITY ***(V-GA)***
	❖ PIP SURVEY, MAKINDYE 1 ***(PIPS – M2)***	
	❖ PLANNING AND REVIEW MEETING, PIP FACILITATORS ***(PRM-PF)***	

Notes: In documents I sometime refer to PIP group members as young people or YP; in earlier documents I sometimes refer to the PIP facilitators as research assistants

Theme 1 - Complexity

COMPLEXITY		
1A. COMPLEXITY OF CONTEXT	**1B. COMPLEXITY OF INDIVIDUALS**	**1C. COMPLEXITY OF PARTICIPATION**
1A.1 COMPLEXITY OF WORK IN SLUM AREAS	1B.1 COMPLEXITY OF DIVERSE SKILLS AND CAPACITIES	1C.1 A DESIRE TO ACHIEVE AUTHENTIC PARTICIPATION CREATED COMPLEXITY
1A.2 COMPLEXITY OF NATIONAL AND GLOBAL POLITICAL CONTEXT	1B.2 COMPLEXITY OF DIVERSE OF MOTIVATIONS AND INTERESTS	1C. 2 COMPLEXITY EMERGED AS A RESULT OF AUTHENTIC PARTICIPATION
1A.3 COMPLEXITY OF UNEXPECTED EVENTS	1B.3 COMPLEXITY OF PARTICIPANT LIFE EVENTS AND VULNERABILITY	

1A.1 Complexity of work in slum areas

Flooding	Actors highlight concern about flooding	'Young person asked 'Why is UYDEL in a swamp area?' (SE-PF: Feb, 2012) 'One group drew their fear of rains and the poor drainage systems – they were scared that they might fall into the drains and drown if they had to do research when it rained. Poor drainage as discussed previously is a very context specific subject and a problem' (SS-S, 2012)
	Risk associated with flooding	'Kawempe had also recently experienced heavy rain which led to localised flooding and building collapse' (SS-S: 2012)
	Session ended early due to flood water concern	'once it starts raining you do not have long to move before the centre floods. If it starts raining during the session we will have to stop mid-session so the girls can make it safely home' (MR-S: Apr, 2012)
	Difficulty travelling when raining	'2 YP did not attend today and several were late because of the rain' (SE-PF: Jul, 2012) 'Flooding has made [Kawempe] site dangerous – for me and beneficiaries. People steal drain hole covers when water is deep: people cannot see ground and sometimes drown in open sewers. Also flooding and overflowing of sewers leads to disease spread and building collapse' (MR-S: Feb, 2012)
	Session cancelled or delayed due to rain	'The survey was disturbed by the rain, we didn't have umbrellas for everyone so had to hide from the rain for some time in a shop' (SE-PF: Jul, 2012) 'Virtually all the girls arrived late' (SE-PF: Nov, 2012)
	Attendance affected by the rain	'2 YP did not attend today and several were late because of the rain' (SE-PF: Jul, 2012) 'Over the last few weeks it has been raining a lot [… in Kawempe parish] and this has had an effect on attendance. Up until this point there was 100% attendance but now members are saying it is difficult to travel to the sessions' (SP-S: Apr, 2012)
Spatial complexity	Available space too small	'It's really easy for the girls to disappear in the slums, there are no proper straight streets and lots of hiding places – they might not be far but still unseen' (MR-S: Aug, 2012)
	Available space considered unsafe	'Not sure [Kawempe] session location is 100% safe (especially for babies brought to sessions) but nowhere in [Kawempe] seems suitable to a UK standard. Have started bringing first aid kits to sessions' (SP-S: Apr, 2012)

		'I am not happy with the location I use; in the UK I would not see it as suitable or safe enough. However, ethics is contextual – the location I utilise is the best possible in the local area, nowhere in the slum is particularly safe' (MR-S: Apr 2012)
	Unable to find more suitable location to deliver work	'There's no room - the space is not enough' (SE-PF: May, 2012)
	Belief overcrowding makes delivery of activities difficult	'Would have liked to have done more games and interactive activities but it was very hard in the environment' (SE-PF: Feb, 2012) 'Space is not good, too small' (VSE-GM)
Localised risk	High risk of theft limits availability of computers for PIP sessions	'I still have my large laptop but I don't feel safe carrying this around Kampala all the time, especially not when travelling via the bus park' (DE-S: Apr, 2012)
Poor infrastructure - Technological and communication, transportation systems	Youth-led research inhibited by lack of technology	'The data collation is taking an extremely long time; the girls seem to be enjoying it, but because they have no computer it is very slow. Only 50 done so far!' (MR-S: Sept 2012)
	Session changed due to lack of technology	'We had no power today at the centre, so had to stop computer lessons when the battery died' (SE-PF: April, 2012)
	Communication inhibited by lack of communication	'The NGO changed the time that the young people were presenting two days earlier. Although I had phone numbers for most of the girls, I was unable to reach their phone. I know most of the girls don't have electricity at home and can only charge their phone in the market when they have the money to do so' (DE-S: Jun 2013). 'Often officials aren't contactable by phone – you can't make appointments. I should also be accompanied by a UYDEL staff member at introductions. UYDEL staff members themselves often don't know how to contact officials so we must also be accompanied by a local person who knows where everyone is' (MR-S: Jul, 2012)
	Lack of technology / communication stimulates further complexity or risk	'I was having difficulty finding an Internet connection. When I eventually found one the electricity went out. I waited for about 30 minutes for it to come back and decided to go to a different region of town as the electricity was out all over the area. I had to jump on a boda and go to a part of the town that I wasn't familiar with. I eventually found an Internet café, but the connection was very poor' (DE-S: July, 2012)

	Area inaccessible activities changed - affected activities	'If it starts raining during the session we will have to stop mid-session so the girls can make it safely home'' (SP-S: Apr, 2012)
	Risk associated with travel	'8 killed in matatoo (local mini bus) accident as road was flooded / poor visibility. May need to use more private hire taxis as increasingly dangerous when rainy' (MR-S: Feb, 2012)
Differences within and between areas. Language use was related to diversity	Communities where researchers were welcomed	'In [Kawempe area] it was evident that they were less used to being researched. However, they also seemed less used to Muzungus (foreigners); the presence of the lead researcher caused quite a stir in the community' (SS-S: 2012)
	Communities hostile to research	'Some respondents had done many surveys before and said that nothing changed' (SE-PF: Jul, 2012) 'people wanted money for surveys. In this area they are over-researched by Muzungus' (SE-PF: Aug, 2012) 'Some areas were much easier than others. A lot of this has to do with how much they have been surveyed before. Girls need to be reassured and that there are always good and bad days' (SE-PF: Oct, 2012) 'Previous research on gangs in the area has been known to have caused trouble for researchers and participants' (SS-S: 2012)
	Diversity of ethnicity / culture	'We had a problem with differences. Different cultures, we come from different tribes and different areas' (FE-GM: June, 2013)
	Diversity of language	'People were speaking many different languages, there was sometimes a language barrier' (SS-S: 2012)
	Unique issues were evident in each area	'Surprisingly whilst both groups ranked poverty as their primary concern, there were no other overlaps apparent, demonstrating that even in the relatively localised area of Kampala, with comparative participants (girls aged 15 – 24), there are distinct differentials in priorities and highly localised issues for concern' (SS-S: 2012)

	Due to diversity Luganda used as unifying language	'The girls highlighted that they believed that most people knew how to speak some Luganda in Kampala. Even if it's not their main language, that's how people managed day-to-day' (PRM-PF: Sep, 2012)
	Common that individuals can only read and write in English	'whilst people might speak Luganda they felt that most people couldn't (or found it difficult to) read and write. The girls said that although they spoke mostly Luganda they could read better and preferred reading in English' (PRM-PF: Sep, 2012)

1A.2 Complexity of national and global political context		
Complex governance systems	Change to KCCA caused issues	'Generally there seems to be a great deal of confusion about the reshuffle of Kampala from a district to a City Council Authority (KCCA). The [local leader] in Makindye admitted to being confused (new roles haven't been clarified yet to anyone)' (MR-S: 2012)
	RDC change	The President 'has decided to replace all the country's Resident District Commissioners. I have only just managed to gain consent from them [..] I have decided that I should go again particularly in Makindye where the subject is so sensitive' (MR-S: Oct, 2012)
	Difficulty accessing local leaders	'We went to meet [local leader] for the 3rd time. Despite having arranged a meeting he was not there' (SE-PF: Jul, 2012) 'Often officials aren't contactable by phone – you can't make appointments, so each effort to see them can take several hours' (MR-S: Jul, 2012)

1A.3 Complexity of unexpected events		
Ebola	Ebola breakout led to daily assessments of situation	'Ebola has broken out in Uganda but not currently in Kampala. We agreed with UYDEL and young people not to stop work but to closely monitor the situation' (SE-PF: Aug, 2012)
	Ebola breakout led to halting activities	'We suspended the survey this week due to the escalation of Ebola cases. […] The actual risks may be quite minor but I am listening to local advice and locals are particularly afraid of this disease' (MR-S: Aug, 2012)
	Ebola breakout led to extra training and protocols for YP	The research began as the Ebola outbreak was beginning in Uganda. Extra safety measures were put in place following discussions with UYDEL. Young people were asked not to shake hands with anyone, to avoid anyone who is sick looking and to avoid any large gatherings such as funerals; hand sanitizer was also made available to young people' (SS-S: 2012)
Civil unrest	Anxiousness caused by civil disturbance	'Rioting has occurred in town centre – no major incidents associated but will try and keep better informed of local events to prevent getting caught up in protests' (MR-S: Feb, 2012) 'At the time of this activity Kampala had been experiencing protests regarding power outages which may be linked to Makindye's prioritisation of security and electricity' (SS-S: 2012)
	Civil disturbance forced session location change or be delayed	'I have moved my planning and review sessions away from the city centre – [Kawempe], as the poorest area in the city is occasionally known to riot' (MR-S: 2012)
	Civil disputes increases risk	'Turns out I narrowly missed a major riot yesterday. I was in the bus park at 1pm. At around 11am the police were letting off live ammunition and tear gas' (DE-S: Oct, 2012).
	Session cancelled due to local civil disturbance	'Rioting is continuing in Kampala; getting to sessions accessing the internet can be difficult when there are certain areas of the city that I need to avoid' (MR-S: Apr, 2012)

Participant fatality	Fatality led to change of session plan	'The staff and group made a collage on Manila paper from photos of [the young person] that had been brought to the session. Young people from the PIP group and from the wider group then wrote messages' (SS-S: 2012)
	Fatality led to staff supporting each other in planning and review meeting	'We also talked about how tragically mortality rates in countries like Uganda are actually much higher than somewhere like the UK. The reality is that it is not uncommon for practitioners to face challenges […] there needs to be support and guidance to know how to deal with these challenges' (MR-S: Aug, 2012)

1B.1 Complexity of diverse skills and capacities		
Education levels, speed and familiarity with learning varied	Language ability varied between groups	'When teaching English I need to tier levels as the difference in ability is quite dramatic between YP' (SE-PF: Aug, 2012)
	Individuals had different levels of educational experience	'I have realised that some of the girls have never been to school; have no English and cannot write in their own native language. I have started translating everything as a matter of course, especially in [Kawempe] where English level is much lower' (MR-S Mar, 2012) 'some of the girls have never been to school; have no English and cannot write in their own native language' (MR-S: Mar, 2012)
	Speed of activities completed varied between groups	'Every week I see the differences between groups more and more – I think both groups will end up with very different processes' (MR-S: Mar, 2012) 'YP in Kawempe found session much more difficult than they did in Makindye' (SE-PF: Feb, 2012) 'Makindye girls [...] had no problem with English' (MR-S Mar, 2012)
	Speed of activities completed varied between individuals	'Some YP completed 20 surveys in a day, others just 5' (SE-PF: Jul, 2012)
Ability to work in group, team varied	One group was already relatively established as YP had undertaken training together previously	'The speed in accomplishing tasks and leadership decision may be reflective of the different levels of familiarity the Makindye and Kawempe group have with each other' (SS-S: 2012)
	One group needed more support in working as a team	'Makindye girls formed much earlier as a group, mixed more' (MR-S Mar, 2012) 'It was apparent that some team members may not have been familiar with team work or how to resolve disputes in teams [it should be noted that some of this group members may have never attended school or worked in an environment previously that required team work' (SS-S 2012)
	Challenge of working in a team was noted	'The group was not supporting each other. The group was not listening to each other' (SE-PF: Mar 2013)

1B.2 Complexity of diverse of motivations and interests		
Motivation around local problems	Groups motivated by desire to address poverty	'We want to solve poverty, because poverty begins with us' (SE-PF: May, 2012)
	Groups motivated by desire to make their community safer	'They want to help make the community safer' (SS-S: 2012) 'They want to decrease crime in the area. They want people to be able to move freely in their community. They want more secure housing (D-GW: 2012)
	Group motivated by desire to change reputation of their local community	'YP said that they wanted to do research 'to give a good title for the community' (SE-PF: May, 2012)
English or beneficence as motivator	Individuals motivated by desire to learn English and research skills	'Young people expecting to learn English; young people expect to learn about research' (D-GW: 2012) 'I expected to learn English, to learn a lot. But I didn't know what I was going to learn' (ME-GM: Mar, 2012)
	Curiosity	'I wanted to know very much what they were doing, their ideas, and what's going on in their place. And I wanted to know what's different from us' (ME-GM: Mar, 2012)
	Certificates	'Gain certificates' (D-GW: 2012)
Motivation by belief that they will create change	Group motivated by goal	'The YP are very committed'(SE-PF: Jun, 2012) 'Now the girls were showing definite signs of acting as a team, they are passionate about their subject choice' (MR-S: May, 2012)
	Group motivated by potential to taken action	'The young people were excited about the idea of taking action' (SE-PF: Sep, 2012) 'They said that they wanted to help people by giving people skills' (D-GW: 2012) 'YP want to take action and change' (D-GW: 2012)
	Group motivated around business start-up (Kawempe)	'There must be some reason for the girls to continue to attend. They may be negative but on the whole they have continued to attend. For some time, the girls have been receiving minimal allowance (because they used it in the salon). Why do they attend? They must receive some benefit or see some potential' (MR-S: Oct, 2012)

1B.3	Complexity of participant life events and vulnerability	
Individual's financial / practical constraints	Personal challenges prevent engagement	'One girl has dropped out from the Makindye group. I have been told by her case worker that it had nothing to do with the team but that she has personal problems' (MR-S: Apr 2012)
	Educational commitments affect engagement	'I don't know if it's a problem, but for me I have to go back to school. Maybe next year, so it will be difficult for me to continue with PIP' (mid interview: 2012)
	Child care responsibilities – change initiated	Doc ref: children welcomed into sessions
	Lack of financial resources limit travel for activities– change initiated	'Gave [PIP group member] 5,000 UGX so she could travel to town and meet me to finish the proposal (SE-PF: Jul, 2012)
Sickness / accidents	Group members cannot attend due to personal loss or illness of family member	'The session finished early because YP had a funeral to attend' (SE-PF: Aug, 2012)
	PIP group members affected by loss of friend	'The young people found it difficult to talk about their emotions but were clearly very distraught' (SS-S: 2012)
	PIP facilitators recognise challenges encountered by group	'We discussed that actually when working in a developing country, chances of becoming sick are actually much higher and need to be budgeted for in the timeframe. We also talked about how tragically mortality rates in countries like Uganda are actually much higher than somewhere like the UK. The reality is that it is not uncommon for practitioners to face challenges similar to those that the group encountered' (MR-S: Aug, 2012)

1C.1	A desire to achieve participation created complexity	
Session location adapted	Room layout was changed	'Re-arranged room to make it less school-like and sat on ground for part of the session (symbolically important in Uganda as teachers /anyone of importance will not sit on ground)' (MR-S: March, 2012)
	Items were hung around the room	'Strategically the poster highlighting stages of research and the previous weeks analysis of research had been hung in the room in advance to aid the group'(SS-S: 2012)
Facilitation style changed	Small groups were utilised to encourage engagement	'some of the YP would not speak in a larger group so Facilitators decided that we should work in smaller groups more' (SE-PF: Jan, 2012)
	Facilitators leave the room to encourage free speech	'We left YP to work alone as they seem to be more confident this way' (SE-PF: May, 2012)
	Activities altered so that writing is not essential	'we need more drawing instead of writing since the young people have difficulty writing' (SE-PF: Mar, 2012) 'Session improved from last week more pictures helped' (FN-S: 2012)
Consent process became more complex	Use of data negotiated	'When discussing confidentiality, it was agreed with each team that their identity would remain confidential unless explicit permission was granted' (SS-S: 2012)
	Use of photography, video negotiated	
	Young people's anxieties discussed	'YP were distrustful of any recording as previously a journalist showed faces of YP and wrongly reported them to be sex workers' (SE-PF: Jan 2012)

1C. 2 Complexity emerged as a result of authentic participation		
Participation informed time and frequency of sessions	YP chose when (time and day) to meet	'YP select time and day of PIP meetings' (SE-PF: Feb, 2012) 'The YP are very committed they have planned an extra session for their group (just them no facilitator)' (SE-PF: Jun, 2012)
	Group members extended session length	'YP want the sessions to be longer' (SE-PF: Apr, 2012)
Participation changed session content	Session plan changed in response to groups' interests	'The session was a little dry today but the group wanted to work through without a game' (SE-PF: Jul, 2012) 'We looked at the agenda for today's session but YP wanted more time to prepare their Masooli presentations' (SE-PF: Jun, 2012) 'Nothing went to plan as YP set the session agenda' (SE-PF Jun, 2012)
	Extra dissemination sessions introduced	'The girls have been planning in both groups how they want to disseminate to the other young people at the centres' (MR-S: Aug, 2012)
	Extra community consultation introduced	'They were adamant that they wanted to speak to the community. Said local leaders and NGOs had no idea of real problems faced by community' (MR-S: Mar, 2012)
Participation changed beneficence and resource use	UYDEL beneficiaries decide that weekly allowance should be given in cash (not refreshments)	'YP have asked that rather than paying room rent, I use the money and pay rent for a salon' (PRM-PF: 2012) 'The YP decide that they want to keep the money in their resource box and not UYDEL's safe. They understand it's risky being left at the centre but they want to keep it themselves despite the risk' (SE-PF: Jul, 2012)
	UYDEL beneficiaries ask for non-monetary forms of beneficence	'As compensation both groups have asked me to help teach them English' (MR-S: Mar, 2012)
	PIP group members ask to change session location	'The money I pay for room hire per week accumulates to about the same that they would pay for monthly rent on a small salon' (SP-S: Oct, 2012)
Participation informed engagement who participated	group members decide what they want and create exclusion criteria	'YP decided that they wanted exclusion criteria'(SE-PF: Feb, 2012)
	group members elected all female members	Doc ref: flip charts from engagement sessions

Theme 2 - Power

POWER		
2A. **MANIFESTATIONS OF POWER**	**2B.** **LIBERAL AND LIBERATING EMPOWERMENT**	**2C.** **EVIDENCE OF EMPOWERMENT**
2A.1 VISIBLE POWER	2B.1 LIBERAL EMPOWERMENT APPROACHES	2C.1 POWER WITHIN ENHANCED
2A.2 HIDDEN POWER	2B.2 LIBERATING EMPOWERMENT APPROACHES	2C.2 POWER WITH ENHANCED
2A.3 INVISIBLE POWER		2C.3 POWER TO ENHANCED

2A.1 Visible power

PIP Facilitators limit / inhibit change utilising visible power	Facilitators involved in initial site selection	'I have decided not to do these interviews in Aug as I will need to pay transport costs for the girls and I can't afford to do this' (MR-S: Aug, 2012)
	Facilitators limit group size	'After the large numbers we had in the engagement sessions and knowing that we had limited space and budget I decided to limit the PIP group members to ten per location […]'I am not sure I can manage a group much larger' (SE-PF: Nov 2011)
	Facilitators ask group members to narrow subject choice	'Going around in circles deciding how to select subject. Problem prioritisation selected poverty as top problem in both sites. Think this as subject is too big' (MR-S: Feb, 2012)
	Facilitators initially dictate ethics	'From the outset of the research the group has been made aware that whilst they will predominantly lead the process, the only exception to this is where their safety or other individuals' safety may be jeopardised' (SS-S:2012) 'The girls obviously don't understand or agree with this rule. I don't think the [local facilitator] does really either, but I get nervous when they disappear and I can't see them' (MR-S: Aug, 2012)
	PIP facilitators control resources	'I have said that I will give them the same as I would pay for room hire for 4 months and they can use it on salon rent, as long as they promise to have the PIP meetings there once a week' (SP-S: Oct, 2012)
	PIP facilitators remove or reclaim power for ethical reasons	'My acceptable boundaries are different to the local girls – some boundaries I allow movement, others I refuse to move' (MR-S: Jul 2012) 'Initially they said that they wanted me to make final decision when disputes arise. Said that this was not appropriate so in end they said that they would take it in turns and have a different group leader each week' (SE-PF: Mar, 2012)
UYDEL limit / inhibit change utilising visible power	UYDEL put condition on acceptable subject area	[the UYDEL manager] 'will not approve anything too political' (SP-S: Apr, 2012)
	UYDEL change funding proposal	'I would go to [UYDEL manager] and ask her feedback. Then [UYDEL manager] was like no no no no this is wrong' (FE-LF: June, 2012)

	UYDEL acts as guardian for minors in some cases	'UYDEL can act as a guardian for emancipated minors' (FN-S: 2012)
	UYDEL has ultimate say throughout the inquiry in ethical decisions	'Safeguarding, child protection policy - to be written in accordance with UYDEL' (MR-S: Nov 2012)
Other actors limit / inhibit change utilising visible power	Funding application requires adherence to conditions defined by the donor	'The terms and conditions were very many. You must do everything on their conditions' (FE-GM: Jun, 2012) 'You must do everything on their conditions' (FE-GM: Jun, 2013)
	Research requires government approval	Doc ref: UNCST approval

2A.3 Hidden power

Educational ability inhibits participation or change	PIP group members view educational requirements of proposals intended for urban youth as too high	'The proposals weren't so easy, because writing proposals they make the questions for those people who are highly educated' (MYP, final evaluation: Jun 2013)
	Need to build capacity inhibits participatory approach	'I wanted to give more control to the group but they needed a lot of support and the work we had to do today was demanding' (SE-PF: May, 2012)
	PIP facilitators members view educational requirements of proposals intended for urban youth as too high	'The application was too hard and there was only about 10 days between the advert going out and the deadline. It required partnerships to be developed and budgets defined – it was very unrealistic for YP who may have low education levels to do this themselves' (MR-S: Jul 2012)
Terms of participation inhibits participation or change	Donor unwilling to accept participation initiated by young people	They [PIP group members] said that they wanted to be able to tell the donors when they are doing something wrong. I have been trying to get hold of a donor for the young people to pass these comments onto, but keep on hearing 'that's just not how things work' (DE-S: Jun, 2013)
	Non-engagement	'There is no ability to have a dialogue with donors' (FN-S: 2012) 'They should put terms that are favourable so that even a person in slum areas can apply for their money and they should be approachable' (FE-GM: Jun, 2013)
Normal / organisational ways of doing things inhibits participation or change	Facilitators perceive that UYDEL sometimes forgets to engage PIP group	'They don't undermine but they forget about the girls' (FE-LF: Jun, 2013)
	Lack of time for management activities inhibits participation	'I wanted to go through UYDEL's strategic plan but there was no time. [..] the draft was very heavy / long, I had no time to break it down for the YP' (SE-PF: Sep, 2012)
	PIP group members not aware of NGO systems	'Young people had not previously realised how many stakeholders can influence decisions made by NGOs' (SS-S: 2012) 'YP did not know why UYDEL was helping us' (SE-PF: Feb 2012)
Different focus and standpoints of scale inhibit participation	PIP group members view small income differences as important	'The young people found it somewhat challenging to create criteria of poverty. Interestingly there is a lot of differentiation between lower categories' (SS-S: 2012)
	projects pre-defined by funding criteria	'Note that these funding objectives do not match the young people's previous interests' (FN-S: 2012)

2A.3 Invisible power

Perceived power of local government	PIP facilitators note concerns over being critical	'Whilst I want to take a more critical approach, I know I must be careful so that this does not put young people at risk. Government due to current situation seems increasingly defensive against any form of criticism' (MR-S: Mar, 2012) 'I am very, very nervous in particular about the Makindye's choice of subject. […] I need to ensure that the young people are not at risk' (MR-S: May, 2012) 'I was concerned about whether it was even safe to discuss ethics with young people in case this discussion brought up criticisms […or] limitations on freedom of speech which might in itself be dangerous to discuss' (MR-S: May, 2012)
	Other actors highlight a belief that consent should be sought	'YP highlighted that we need the local chief's consent before proceeding' (SE-PF: April, 2012)
Perceived power of donors	PIP group member notes previewed power of donors	'These donors come in for one day and they think they know everything from just visiting one project. They should get to know us and when they give money, they should give us a chance first, instead of asking for these high, high things' (FE-GM: Jun, 2012)
	Perception that donors don't listen	'They [donors] should not tell a book by its cover. They should first listen to the views of the young people although they are from slums they have ideas and can get the nation to a higher level' (MK01, Jun 2013: Final FGD)
Perceived power of UYDEL	Group seeks authority from UYDEL	'Some of the girls don't like the rules in the constitution. Having Anna reaffirm the rules makes them realise that they are now non-negotiable' (SE-PF: Nov, 2012)
	UYDEL asked to act as arbitrator by PIP groups	'Having Anna reaffirm the rules makes them realise that they are non-negotiable' (SE-PF: Nov, 2012)
	PIP groups do not question UYDEL's position of power	'They didn't know that it is like a right that they should be accountable' (ME-LF: Mar, 2012)
Perceived power of PIP facilitators	I was viewed as more powerful	'For the girls, honestly they still see you as someone who is better than them […] You can't really blame them because 1) you are a Muzungu, then they see that you are from the UK and that's powerful no matter what you do' (FE-LF: Jun 2012)
	My power viewed as being less unequal that	'you are more down to earth and different to other Muzungus (foreigners) […] you

	other researchers	try to do that which is why they are free with you; they can talk to you but there is still some difference' (FE-LF: Jun 2012)
	PIP group members highlight initial fear	'Fearing Addy and assistant' (FE-GM: Jun 2013)
	Initial concern that I was viewed as a teacher	'It was evident that some of the group were shy and uncomfortable with the activity. Group did not talk to each other while making poster (absolute silence!)' MR-S: Mar 2012)
Negative perceptions of urban youth	Actors view young people as political trouble makers	'[S4] also warned that opposition and Government MPs are keen to politicise YP for their own purpose – the youth are 'politically charged'. I must be wary of people that may want to hijack the group or work for their own purpose' (MR-S: Jul, 2012)
	Individuals believe others think badly of slum youths	'I think these NGOs, these donors have this image of slum girls' (FE-LF: Jun, 2013) 'People were not approachable: they looked at us like we were lower people' (FE-GM: Jun, 2013
	Actors perceive young people as responsible for crime	Doc Ref: Makindye crime survey
	People sceptical of group member's capacity	'They keep on saying the girls may not be able to handle that you are putting too much pressure on them' (FE-LF: Jun 2013)
Internal oppression	Group members daunted by taking on more responsibility	'The Kawempe team initially found the idea of leading a session daunting and were shocked when this was suggested' (SS-S: 2012)
	Group members focus on their weaknesses	'The girls keep on showing signs of being a team and working together, but then they take a step back and go back to fending for themselves. They have a negative attitude and only focus on problems and challenges. It's hugely frustrating that they can't see how much the group has achieved or their potential for success' (MR-S: Dec, 2012)
	Group members lack confidence	'Like if you say that today we are the ones to lead the session maybe we are not, I don't know, you can't just think about something, you need to talk about it' (ME-GM: Jun, 2012)
	Group members seek others to do work for them	'There were times when they would want me to make those decisions alone. They were like [PF2] knows everything, [PF2] will do it' and I was like no' (PF2, final evaluation: Jun, 2013)

2B.1 Liberal empowerment approaches

PIP facilitators try to create space for participation	The original design of PIP argues for participatory space	Dec Ref: the original design of PIP the practice model
	PIP facilitators try to enhance practically PIP facilitators status	'A decision was made that in order to help young people attain respect as researchers in the community they would be issued with ID cards and t-shirts that would help identify them' (SS-S: 2012)
	PIP facilitators create space for participation	'In every small thing we do we are involving the girls; even the games we play they are the ones in charge' (FE-LF: Jun 2013)
PIP facilitators advocate / protect PIP group members power	Meetings with local leaders	'I don't want to take YP to sees the [local leader], until I know how they react to the subject choice of insecurity. If they react badly I don't want the YP identified, I have more safety as an outsider' (MR-S: Jul, 2012)

2B.2 Liberating empowerment approaches		
Activities were introduced to enhance Power within	Activities were introduced to help Group members reflect on accomplishments	'The girls need to be encouraged to think back to what they have achieved' (SE-PF: Nov, 2012) 'the activity worked well in the end, as the group had not previously had the opportunity to reflect upon how much they had accomplished and achieved' (SS-S: 2012) 'A sense of pride was evident in the group as their accomplishments to date were laid out before them' (SE-PF: Mar, 2012)
	Activities were introduced to explore personal strengths	'Activities helped YP to see that they had the skills and resources to offer themselves' (SE-PF: Sep, 2012)
	Activities were increasingly introduced to enhance critical awareness	'One article was written more emotively than the other and teams were asked to reflect on possible bias (SS-S: 2012) Doc ref: session activities, participatory literature review, devil's advocate
	Group members were trained in public speaking to aid confidence	Doc ref: session activities, public speaking
Activities were introduced to enhance Power with	Activities were introduced to create group identity	'This session aimed at bringing team members together to form a common identity and purpose' (SS-S: 2012)
	Attention was awarded to team building activities	'We decided to do an extra teambuilding activity to help the group' (SE-PF: Mar, 2012) 'The final task was successfully accomplished and the team was again unified (even the disgruntled member actively participated to achieve the task)' (SS-S: 2012)
	Activities were introduced to highlight commitment to each other	'The girls promise to each other helped to reinforce that constitution was to each other and not to me' (SE-PF: Nov, 2012)
	Activities were changed to avoid internal conflict and to aid team work	'The following activities were subsequently changed to whole team activities in order to facilitate group unity rather than competition' (SS-S, 2012) 'We decided to bring groups back together because we recognised division' (FM_S: 2012) 'This session went off track due to an argument over the truth and lie game. Got group to discuss what happened and suggest ways that they might deal with disagreements within group. […] After that scrapped all competitive games planned and gave them whole team challenges so group had to come back as 1 team. Seemed to work in the end but planned activities were not completed' (MR-S: Mar, 2012)

Activities were introduced to enhance Power to	Training on research was undertaken	'We also looked at what is meant by a research strategy or research methods/tools.' (SS-S:2012) **Doc ref**: activities on ethics
	Computer skills training undertaken	**Doc ref:** session plans and pictures
	Public speaking training undertaken	'Group members were trained in public speaking to aid confidence' (SE-PF – Sep, 2012)
	PIP group members let in to professional secrets	'The young people were introduced to the concept of funding proposals' (SS-S: 2012) 'Today we reviewed UYDEL's strategic plan and log-frame' (SE-PF: Sep, 2012) **Dec ref: accountability activities**
	Leadership training undertaken	**Doc ref**: Ethical guidance
Knowledge and language on their own terms	Meaning of key terms was defined by PIP group members	'The girls told me that for them insecurity means a lack of protection, presence of many thieves and a high crime rate. They also said it meant not being able to meet their needs' (SE-PF, Jun 2012) 'The girls have extreme ideas of what being rich means' (SE-PF: May, 2012)
	External resources incorporated into PIP group sessions	Doc ref: participatory literature review
	Young people wanted resources introduced to PIP sessions	'The young people said that they enjoyed having the opportunity to read the articles on crime and insecurity. It should be noted that these young people lack the opportunity to read as they are not in school and do not have the available financial resources to be able to purchase books or newspapers' (SS-S: 2012) 'I have come to realise how intelligent these young people are, but they are starved of information and opportunities to learn – no money even for a TV, book or newspaper etc. I now kind of see this lack of information as a type of discrimination and control' (MR-S: Sep 2012)

2C.1 Power within enhanced

Confidence increased	Facilitators note difference	'Both the lead researcher and the research assistant noticed a dramatic increase of the young people's confidence and independence over the 4 hrs' (SS-S: 2012) 'Shy members seem to be growing weekly in confidence' (MR-S: Apr, 2012) '[PIP facilitator] said that you could now see the difference between the PIP girls and the other girls. They have more confidence and even they think that they are different' (DE-S: Sep, 2012)
	PIP group members highlight that they feel more confident	'It has changed me a lot. First and foremost I am now confident. I can speak perfect and communicate to many different types of people' (FE-GM: Jun 2013) 'We gained confidence, we learnt how to speak in public. We got new friends and went to new places.' (FE-GM: Jun 2013) 'PIP has made me discover myself, because those days I was shy. Now I can speak' (FE-GM: Jun 2013) 'The team said that from the experience they learnt how to work as a team; how to be confident; how to do research in practice; and how to approach people' (SS-S: 2012) 'When asked about the advantages of PIP the YP focused just on material things it gave them. When I asked if I should just give them the material things and not do anything else they said no and started highlighting the advantages' (SE-PF: Jun, 2012)
Other indicators of power within	Articulates enhanced leadership skills	'I know now that I can become a good leader, even in my society and in my family. Wherever I go I am an example now (ME-GM: Mar, 2012)
	Group member is more self-reflective	'PIP team leader […] said 'we first introduced each other, such we can know ourselves better'. (D-GW:2012) 'being a leader I got to know myself' (FE-GM: Jun, 2013)
	Group members become more critical	'The young people understand the link between insecurity and poverty. They feel that the majority of causes of insecurity were due to poverty' (SE-PF: Jun, 2012)
	Group member notes achievements	'We succeeded in working as a team and we also succeeded in carrying out our research' (D-GW:2012)

PIP group members have the ability to say no	PIP group members were able to highlight disagreement	‘they can laugh with you or say no we don't like that idea’ (FE-LF: Jun 2012)

2C.2	Power with enhanced	
Group utilised resource power and started own business	Group decided to save allowances	'The Kawempe group decided that they would divide the refreshment money each week, whilst the Makindye group chose to take two-fifths of the money and to save the remainder as a team' (SS-S: Mar, 2012)
	Group initiates business from saved resources	'We got our savings and made a salon' (FE-GM: June, 2013)
	Group members request different use of available resources	'YP have asked that rather than paying room rent, I use the money and pay rent for a salon' (FN-S:2012)
Actors note greater ability to work as a team	PIP group members note teamwork ability	'We succeeded in working as a team and we also succeeded in carrying out our research' said PIP member' (D-GW: 2012) 'We learnt talking with people, team work and confidence' (D-GW: Nov, 2012) 'YP fear overcome with support of group' (ME-GM: Mar, 2012)
	PIP facilitators note group work skills	'The group are helping each other more' (SE-PF: Apr, 2012) 'The level of team work demonstrated today was proof of how far this group have moved forward' (SE-PF May, 2013)
Group members facilitated sessions	PIP group facilitated sessions	The young people asked facilitators to leave the room whilst they discussed, they just called us for help occasionally' (SE-PF: Jun, 2012) 'The girls worked very well as a team today, they were really independent and led everything themselves' (SE-PF: Jun, 2012)
	PIP group members had power to convene	'This session was run independently by the group. The group talked about means of dissemination; they introduced the new member; talked about the Masooli visit and continued with English lessons (SE-PF: Sep, 2012)
	PIP group members controlled session agenda	Doc ref: Masooli agenda
	Groups developed own rules	Doc ref: PIP groups' work
Members managed group	Group members decided group leadership structure	'YP decided that they will have a new leader each session' (SE-PF: Mar, 2012)
	Group members decide on group rules and aims	Doc ref: group members work – group rules

	Group members decide on group roles and responsibilities	'Young people made decision to allocate roles: admin, key holder, cashier, register' (SE-PF: Mar, 2012)
	Group members decide how to respond to disagreement	Doc Ref: group rules and how we resolve problems 'we learnt to solve problems' (D-GW: 2012)
Group members redefine group membership	Group members group wanted to expand participation	'YP said that they want more involvement in the community' (SE-PF: Jul 2012)
	Group members group decide how and when to elect new members	Doc Ref: Group work how to select PIP group members
	Group members group decide to elect new members	[YP discussed new members joining they said] 'no, let's not do it with new people now, they will get confused, we will bring them later' (Facilitator final interview: June, 2013)

2C.3 Power to enhanced		
PIP group members' critical awareness enhanced	Young people explore the root causes of crime and poverty	Doc ref: tree analysis and social ecology pics
	PIP group aware of NGO's accountability	'PIP group aware that NGO should be held to account' (FE-LF: Jun 2013) 'They can now speak out and say you are not being accountable to us' (ME-LF: Mar, 2012)
Group members' ability to lead research enhanced	Young people decided how to decide subject	'The YP decided that they wanted to ask the community' (SE-PF: Nov, 2012)
	Group members selected method	'The girls chose the research tools they wanted to use' (SE-PF: Jun, 2012)
	Group members developed tools	'YP developed survey questions' (SE-PF: Jun, 2012)
	Young people decided sample size	'Did survey planning with YP, agreed to survey 200 people in [two areas of Kawempe]' (SE-PF: Jul, 2012)
	Group members highlight increase in research skills	'The main thing is I've learned how to do research' (ME-GM: Mar 2012)
PIP group members' voice was enhanced	Group members chose initial subject area (Kawempe)	'The YP said that they wanted to look at poverty' (SE-PF: Apr, 2012)
	PIP group members highlight that they believe voice is heard	'The girls said that are happy to be part of the PIP groups because their voice is being heard' (SE-PF: Jul, 2012)
	PIP group act as link to other beneficiaries	Doc ref: feedback to UYDEL
	PIP group members make request to UYDEL	'YP want more involvement in the community; YP want to extend to other UYDEL centres'; YP want to tell community about accountability (D-GW: 2012) Doc ref: feedback to UYDEL
PIP group members' team skills were enhanced	PIP facilitators note ability to lead sessions	'Today it was clear that the girls are now capable of running sessions on their own. I think they enjoyed it' (SE-PF: May, 2012)
	Group members taught practical skills	'The session today was also extended to allow computer training with two groups' (SS-S: 2012)

	Group members demonstrate understanding of funding	'The young people seem to now understand what UYDEL has to go through to get funding' (SE-PF: Jul, 2012) 'Young people had not previously realised how many stakeholders can influence decisions made by NGOs' (SS-S: 2012) 'The learning is for them: I am not there with a magic pot of gold but they may explore how to look for funding for activities themselves' (MR-S: Jun, 2012)
	Group members understand accountability	'One girl in her one-to-one said to me that she now thought she understood accountability but she wanted to go deeper into what it means' (MR-S: Aug, 2012) 'being our main ??? of accountability I have learnt how to ensure and demonstrate responsibility' (FE-GM: Jun, 2013)

Theme 3 - Process

PROCESS			
3A. PIP FACILITATOR'S ROLE AND EXPERIENCE	**3B. PARTICIPATION AS PROCESS**	**3C. SUPPORT**	**3D. FLEXIBLE AND ADAPTIVE IMPLEMENTATION**
3A.1 PIP FACILITATORS ACTED AS BROKERS	3B.1 PARTICIPATION AIDED MGT. AND UNDERSTANDING OF COMPLEXITY	3C.1 TRAINING UTILISED	3D.1 BLUEPRINT APPROACH WAS DROPPED
3A.2 PIP FACILITATORS EXPERIENCED DILEMMAS	3B.2 PARTICIPATION AIDED MGT. AND UNDERSTANDING OF POWER	3C.2 PLANNING AND REVIEW WAS UTILISED TO SUPPORT	3D.2 SUPPORTIVE PROCESSES WERE INTRODUCED
3A.3 PIP FACILITATORS WERE AFFECTED BY CONTEXT AND IMPLEMENTATION			

3A.1 PIP facilitators acted as brokers

PIP facilitators act as knowledge brokers	PIP facilitators communicate knowledge to PIP group members	'Presented initial findings, the girls could interpret the charts well, and see error in the data' (SE-PF: June 2012) 'It was noted that the term 'leader' cannot be directly translated into Luganda without the term adopting some strong inferences' (SS-S: 2012) Doc ref: about accountability
	PIP facilitators communicate knowledge from PIP group members	'YP produced 2 articles for the newsletter' (SE-PF: Aug, 2012)
PIP facilitators act as power brokers	NOTE OVERLAP WITH SECTION 2B.1 Liberal approach recognises PIP facilitators in power brokering role	
	Facilitators highlight the need for a broker	'Maybe it shouldn't be the way, they shouldn't need a link but realistically the facilitators are the link' (FE-LF: Jun 2012)
	Lack of time in programme management leads to lack of participation	'[the UYDEL manager] wanted a decision quickly sometimes, I said no I have to meet with the girls' (FE-LF: Jun 2013)

3A.2 Brokering dilemmas were encountered

PIP facilitators experience pressure from accountability actor	Pressure exerted from PIP group members	'There were times when they would want me to make those decisions alone. They were like [PF2] knows everything, [PF2] will do it' and I was like no' (FE-LF: Jun 2013) 'YP want to disseminate now but we need to finish the survey' (SE-PF: Aug, 2012)
	PIP facilitators experience pressure from UYDEL	'She wanted a decision quickly sometimes, I said no I have to meet with the girls. Some of the questions were quite hard, so you can find you have to keep on going back and forth, back and forth, back and forth. Each step was hard' (FE-LF: Jun 2013) 'They say just do everything yourself and just give them feedback' (FE-LF: Jun 2013)
	PIP facilitators believe that there is too much dependency on them	'instead of using the facilitator to be the link there should be direct contact between the NGO managers and the girls' (FE-LF: Jun 2013)
Participation versus time	Lack of time in inquiry led to PIP groups wanting to be taught	'Whilst I may have liked to have been more participatory in developing a constitution etc. this would have taken a lot more time. We discussed that it was probably essential to have something basic in place before the young people started their business' (MR-S: Oct, 2012) 'I just wished I had more time for everything' (DE-S: Nov, 2012)
	Delay with consent inhibits participation	'I cannot yet start with the [PIP] group as I do not have ethical approval – will have to take a short break but the end of the engagement sessions is a logical place to do this. Can use time to step back a little – the process needs to be visible. However, if delay is too long young people may become discouraged - will start again in two weeks. If no ethics yet can start with capacity building and training' (MR-S: Feb, 2012)
	Lack of time limited proposal writing	'The decision-making part was a little slow because I could only meet them once or twice a week [..]At least there was some participation in the proposal writing but it's far from ideal' (SE-PF: Jul 2012)
Participation versus risk	Cultural perceptions of risk are not aligned between actors	'This isn't entirely participatory, but the girls have a much higher threshold of acceptable risk than me because their normal day-to-day lives are so dangerous' (MR-S: July, 2012)
	PIP facilitators uncertain about handing over responsibility	'[PIP group member] is now in charge of ethics. The young people asked whether, if she was trained, that they could do the survey on their own. I'm not sure about this' (SE-PF: Sep 2012)
	Participation was temporarily limited due	'I don't even know whether I can discuss, whether it is safe to

	to uncertainty	discuss. I'm scared to even raise the subject' (MR-S Dec, 2012)
Participation versus cost	Training is limited by cost concerns	'Also that this training has to be zero cost and in segments of no more than a half-day as to take more time out than this is unrealistic for an NGO like UYDEL' (MR-S: Mar, 2012)
	Concern that participation in proposal will build expectations	'Although I have explained to the young people about funding, but I am still concerned that their involvement in proposal writing is raising their expectations. Also they have put in a lot of effort and I'm worried they will be disappointed' '(SE-PF: Jul 2012)
	PIP facilitators highlight concern over resource use	'The girls have unrealistic concepts relating to how far money will go' (SE-PF: Aug, 2012) 'Am concerned about how I will manage financially after this. Originally I planned to stay to at least Xmas, but Uganda and in particular transport has been far more expensive than I anticipated' (MR-S: May, 2012)
	PIP sessions have associated cost – need for funding	'The cost of supporting the PIP groups is quite high. I need to look for additional funding or look for different ways of doing it. Having said that, while I say the costs are quite high they are significantly cheaper than how NGOs often do participation / research' (MR-S: Jul 2012)
Conflict in values and beliefs	PIP group members don't agree with human rights principles	'Learnt that the young people knew about human rights but that they don't necessarily agree with them, especially for criminals' (SE-PF: Jul 2012)
	Culturally not appropriate for young people to be critical of elders	'They agreed that they should make positive suggestions only and not criticise' (SE-PF: Jun 2012)
	PIP group decide to exclude others	'Again young people decided to limit the group to existing members [...] is it ethical for the group to choose to exclude others?' (SE-PF: Aug, 2012) 'not everyone was happy with the selection process' (SE-PF: Feb, 2012)

3A.3 PIP facilitators were affected by context and implementation		
Facilitators note impact upon emotional well-being	PIP facilitator notes a lack of focus	'This week has been very emotionally hard. I can't focus on the study as my mind is pre-occupied' (SE-PF: Aug, 2012) 'I have found the death of one of the young people extremely hard emotionally and de-motivational work wise (have found it difficult focusing on work)' (MR-S: Aug, 2012)
	Guilt and concern highlighted	'I am becoming increasingly attached to the girls and I am finding it increasingly hard to detach and not to feel responsible' (MR-S: Oct, 2012) 'I am constantly worrying that I am pushing the girls too hard or asking too much of them' (MR-S: Sep, 2012) 'In some ways I don't feel like the study has made a significant change or that participation can make a significant change in the face of massive poverty, corruption and human rights violations – it seems like a very small drop in a massive ocean and this can be quite depressing' (MR-S: Dec 2012)
	PIP facilitator notes reverse culture shock	'Coming back at Xmas it's hard to get my head around the materialism here and to be sympathetic to people's worries and concerns here – things don't seem like real problems. It's hard to believe but also miss how busy Kampala is and the chaos there, UK seems lifeless and too quiet. Also not yet adjusted to being safer; still feel anxious – e.g. if I'm on the streets at night (something you can't do in Kampala) or that I now don't have a guard or a guard dog. Have to keep on reminding myself that this is the UK – its ok' (MR-S: Dec, 2012)
	Stress or burnout highlighted	'There is a limit to how much I can do. I feel like I have only just managed to keep my head above water' (ME-S: May, 2012)
	Change in perception of risk noted	'[My supervisor said] 'I looked at the prep sheet and it all looked like it was going really well until I read the last page'. I didn't understand what he was talking about at first and had to ask him. At that point I realised that my view on security might have become slightly skewed– I like the fact the rioting has ceased which makes my life and movement a lot easier - it seems like an easy month. Although someone did try to break into my house again' (MR-S: July, 2012)
PIP facilitators experience risk or hazard	PIP facilitators exposed to risk	'Uganda security and situation briefing - It has been a horrible month in regards to security as mentioned previously- thefts, attacks, spiking of drinks, traffic accidents, riots' (MR-S: Apr, 2012) 'Shooting killing 3 people in my local area – land dispute problem turned nasty as police started shooting protestors. Once again will try and keep better informed of local news'

		(MR-S: Feb.,2012) 'Woke up the other night to gun shots as my guard was scaring off intruders from attempted break-in number 4' (MR-S: Aug, 2012)
	PIP facilitator feels at risk	'At this point I realised that I had not made any arrangements for my own exit out of the slum. It wasn't really a safe place for a Muzungo to be on their own' (DE-S: Oct 2012)
	Facilitators were affected by road traffic incidents and accidents	'[the local facilitator] had been in a traffic accident and could not attend' (SE-PF: Aug, 2012)
Facilitators affected by illness	Activities affected by sickness	'[the local facilitator] felt sick and could not walk much, this meant that supervising the groups was hard' (SE-PF: Jul, 2012) 'despite feeling unwell the lead researcher was reluctant to call sick and cancel the session. When working with young people facilitators need to reflect on at what stage it is more appropriate to cancel than to struggle through as particularly with face-to-face work facilitation can be challenging if not 100%' (SS-S: 2012)
	Sessions cancelled by sickness	'This week I had to cancel the session in [Kawempe] due to sickness. I was uncertain what to do but in the end decided to cancel session rather than to let the [local facilitator go ahead alone' (MR-S: Apr, 2012)

3B.1 Participation aided understanding and management of complexity

Participation aided practical decisions	Young people locate place for session delivery	'Contact given by YP for school room hire' (FN-S: 2012)
	Participation aided understanding of complexity	'If at all you don't create that relationship it won't be easy to understand the problems of the young people' (FE-GM: Jun, 2013)
Participation aided ethics	PIP group members highlight risk	'Their fears were mostly about drunkards and falling into the drainage system (some areas are very unsafe if it rains)' (MR-S: Jul, 2012)
	PIP group members safeguard facilitators	'When interviewing [PIP group member] came to find me. She told me that the leaves in the bag on the floor were local drugs. Other community members had warned her that the group was 'not good' and that I was not safe. I was likely to be robbed' (SE-PF: Oct 2012)
	PIP group member in the role of ethics officer was effective	'[PIP group member] in her new ethics role was fantastic. I though she did really well and took the role very seriously' (SE-PF: Oct 2012)
	Understanding and additional training helped	'The girls are very competent and able to identify potential problems. They understand ethics now, we agreed to slacken the rules from the last time' (SE-PF: Oct 2012) 'The case study was successful in initiating dialogue about ethics and let the young people think for themselves about potential risks' (SS-S: 2012)
	PIP group members adhered to and believed in protocols which they helped create	'The girls worked well in pairs and looked after each other. They were enjoying today and proud of how much they managed to achieve' (SE-PF: Oct)
Participation aided knowledge generation and communication	PIP group members have local understanding	'Girls have a good understanding of crime and insecurity in their area but they had multiple views and arguments on it' (SE-PF: Jul, 2012) 'They believe that crime affects everyone but in different volumes and in different ways' (SE-PF: Jul, 2012)
	UYDEL was able to utilise the PIP group's work to highlight participatory approach	'In terms of image to the donors it has enhanced their image. They can say that they have a group of young people that are involved in doing almost everything '(FE-LF: Jun, 2012)

Participation aided research	Young people understood the terminology used by the community	'The review of the survey highlighted the importance of involving young people in the tool development process. The young people could easily identify questions and terminology that might be confusing to their peers' (SS-S: 2012)
	Group members were able to utilise own knowledge of what being a respondent was like	'They also shared their own experience of participating in research (both surveys and interviews). Because they had experience of participating, the group was able to come up with pros and cons of different types of research' (SS-S:2012)

3B.2 Participation aided understanding and management of power

Participation changed power relationship with UYDEL	PIP group member notes change in dynamics	'I think it is changed [UYDEL's opinion of YP] because according to our trip to Masooli, when they were talking to us they say that, they didn't expect that from us. According to that I think it has changed their ideas about us' (ME-GM: Mar, 2012)
	Belief that PIP group members have greater influence within UYDEL	'YP have more of a voice with UYDEL' (FE-LF: Jun 20123)
	Belief highlighted that PIP changed relationship between UYDEL and staff members	'Plan and review led to better staff relationships' (FE-LF: Jun 20123)
	Roles reversed in seeking consent	'She would like a piece to put on their web page if girls approve' (MR-S: Apr, 2012)
Participation changed power relationship with local leaders	PIP created links to local leaders	'PIP has linked us to those big people like the police officers and LCs [Local Councillors] but before that we couldn't talk to them' (FE-GM: Jun 2013)
Participation changed power relationship with community	Belief that PIP enhanced the NGO's standing in the community	'Research activities helped people to know about UYDEL activities, as well about location and what it does (it made UYDEL popular)' (MYP, Jun 2013: young people's work)
	Appreciation of the participatory process highlighted	'We asked the people what problems they had, we didn't come out and say this is your problem - here's a survey' (FE-LF: Jun 20123)
Participation changed power relationship with facilitators	PIP group members support PIP facilitators	'Today [a PIP group member] was the one pushing me not to give up' (SE-PF: Oct, 2012)

3C.1 Training and support was enhanced		
Training was enhanced	Mini trainings held in planning and review sessions	'Undertook mini training on accountability today with [pip facilitators]' (DE-S: Nov Feb 2012) 'Mini trainings were integrated into each planning and review meeting' (MR-S: Apr, 2012)
	Rights-based approach training was requested by UYDEL managers	'UYDEL request for RBA training' (FN-S: Jan 2012) 'Staff members are both keen and doing well. However, I underestimated how much support and training they need' (MR-S: Mar, 2012)
	Rights-based approach training was facilitated for UYDEL staff	'Rights-based approach training was introduced to meet evident need' (SS-S: Mar, 2012) 'I did a ½ day training for approx. 50 staff members at UYDEL' (DE-S: Mar 2012)
	Facilitation training was recognised as important	'I've realised that I can give the tools for PIP but the facilitators are key' (ME-PF: Jun 2012) 'How the [PIP facilitators] now work with the girls and approach participation seems to be very different to how it started and to that of their peers on social work courses' (MR-S: Sep 2012)
	Challenge of teaching facilitation was recognised	'I also realised that I had become used to working with children and young people, to the extent that it is hard to explain to others what I do and why' (MR-S: Mar 2012)
	Facilitation training was undertaken within PIP sessions	'Local facilitators taught how to do own reflective practice' (MR-S: May, 2012) 'Local facilitators asked to watch facilitation and reflect […] Facilitation discussion integrated into reflective practice' (MR-S Apr, 2012)
	Ethics training was recognised as important	'In light of all our discussions on ethics I need to make sure the [PIP facilitators] have the capacity to make ethical decisions on their own' (DE-S: May, 2012)
	PIP methodology training was undertaken for UYDEL staff, beneficiaries and Makerere students	**Doc ref:** PIP training agendas (Jun, 2013)

3C.2	Planning and review was utilised to support	
The planning and review meetings were viewed as integral for support	PIP facilitators highlight that they appreciate support	'UYDEL does a lot of capacity building of their staff, but it doesn't really have that one-on-one? relationship where if I have a problem I can sit down with you' (FE-PF – Jun, 2013)
	Planning and review sessions offered time to think about risk	'Planning and review sessions used to reflect on risks posed by political contexts' (MR-S: Aug, 2012) 'I perhaps under-estimated or was not aware of some risks (odd, considering the size of my risk assessment). Also I have to continually think about what is safe to do with young people' MR-S: Apr, 2012)
	Peer support was viewed as beneficial	'In PIP, as a facilitator you always need to be two steps ahead of what's happening, so you need the other people's feedback' (FE-PF: Jun, 2012)
	Collaboration was viewed as important for enhancing cultural appropriateness	'The research assistant was key in guiding how the session should be developed and advising us on what is culturally appropriate' (SS-S: 2012)

3D.1 The blueprint approach was dropped

Also see 1B.1, 1B.2, 1C.2

Time and flexibility was used as a coping mechanism	Main activities halted to allow individuals to grieve as a group	'The staff and group made a collage on Manila paper from photos of [the young person] that had been brought to the session. Young people from the PIP group and from the wider group then wrote messages' (SS-S: 2012)
	Facilitators learnt they needed to let go of control	'My experience last year made me learn that I have to learn to let go of control a little more' (AR-S: 2012)
	Extra sessions to support proposal writing	'Extra sessions were started to support funding application' (FN-S: Jul, 2012)
	Time was afforded to changing perspectives	'Changing the view of the [accountability actor] did not happen overnight; it took quite some time and throughout the year I invested quite a lot of time' (MR-S: Dec, 2012)
Decision made the sessions cannot be run in parallel – sessions to be run at own pace	Time spent on explaining confidentiality and use of data	'Needed to reassure YP it's confidential and that they do not have to take part' (SE-PF: Jan, 2012) 'Had to talk again about voluntary participation' (SE-PF: Feb, 2012)
	PIP sessions speeded up	'Whilst downward accountability seems like a concept hard to grasp for many NGOs the girls jumped on this concept and immediately understood it' (MR-S: Dec, 2012) 'The YP understood ecology very quickly, it seemed to just make sense to them' (SE-PF: Sep, 2012) 'We need to have a spare activity in case they go too fast again' (SE-PF: Apr, 2014)
	PIP facilitators recognised that sometimes activities had to be slowed down	'The analysis was hard work for the group. Not really sure though if I can make it simpler or more fun' (SE-PF: May 2012) 'We decided to call it quits as the girls seemed tired and frustrated' (SE-PF: Oct, 2012)
PIP facilitators adapt to emerging ethical issues	Activities were halted or delayed to give facilitators time to think	'Facilitators decided to delay the start of the survey for a week so that they have time to think' (MR-S: Dec, 2012)
	Time was taken to ensure ethical progression	'We will delay the start as need to spend more time teaching YP about ethics' (SE-PF: May, 2012)
	Activities were halted or delayed to give facilitators time to seek advice	'At the start prior to my field work I thought I had done a very comprehensive ethics assessment, but there were things like flooding, the death of a participant and Ebola that I just didn't expect. [..] From all of the manuals I have read on participatory approaches none of them cover the nitty gritty of doing participation in practice. I need to halt things so I can seek advice from {Ugandan supervisor]' (DE-S: Dec, 2012)

Activities would go backwards and forward dependent upon not-linear progress of group	Period of regression struggle noticed	'This week the group was laughing and talking together, like I hadn't seen them do in weeks' (SE-PF: Nov, 2012) 'As part of the challenges faced by the [Kawempe] group I can feel the group's enthusiasm waning? At the Masooli 6 month 2-group meeting it was the [Kawempe] group who seemed most dedicated / enthusiastic. The attitude seems to have really changed since then' (MR-S: Oct, 2012) 'The girls are used to fending for themselves and expecting people to let them down. Whilst steps have been made towards teamwork and trust, the smallest set back or the introduction of real business and money may force them to reverse back' (MR-S: Dec, 2012) 'The young people's confidence seemed to go backwards as we prepared for the survey' (SE-PF: Jul, 2012)
	Motivation increased	'Despite regularly starting late the girls have demonstrated amazing commitment and determination towards completing the survey' (SS-S: 2012) 'It should be noted that despite the fact that the group had now completed the training sessions which originally linked them to UYDEL and the PIP group, all members had continued to show up for the group' (SS-S: 2012) 'In [Kawempe] it should be noted that the group did manage to maintain a consistency between their original goals and what they actually did' (MR-S: Dec, 2012)

3D.2	Supportive processes were introduced	
Processes to support ethical practice	UYDEL's administrative and safeguarding and ethical systems were revised	**Doc ref**: PIP staff code-of-conduct **Doc ref**: Revised child protection policy
	Safeguarding systems were put in place	**Doc ref**: PIP staff code-of-conduct **Doc ref**: PIP incident reporting form
	Processes established to negotiate ethics with young people	'We need to discuss and agree something that everyone thinks is reasonable' (SE-PF: Aug, 2012)
	Ethics reviews were undertaken after every PIP group session	**Doc ref**: Session evaluation form
	Ethical guidance was collaboratively developed	**Doc ref**: Ethical guidance

APPENDIX C2: REVIEW OF PIP THE PRACTICE MODEL

Key aspect	STRENGTHS OF THE ORIGINAL DESIGN	WEAKNESSES OF THE ORIGINAL DESIGN	RECOMMENDATIONS
PARTICIPATORY PIP	**THE THEORETICAL ARGUMENTS CORRECTLY IDENTIFIED THAT:** • AUTHENTIC PARTICIPATION CAN ENHANCE DOWNWARD AND INTERNAL ACCOUNTABILITY • SPACES FOR PARTICIPATION ARE IMPORTANT • PARTICIPATORY GROUP WORK IS IMPORTANT • YOUTH-LED RESEARCH CAN LEAD TO VALUABLE INSIGHTS TO THE ISSUES FACED BY THOSE INVOLVED • AUTHENTIC PARTICIPATION IN RESEARCH PROCESS, INCLUDING CONTROL OVER SUBJECT CHOICE, IS IMPORTANT • PARTICIPATION, PARTICULARLY IN COMPLEX ENVIRONMENTS, IS ETHICALLY CHALLENGING • PARTICIPATION COULD BE A POWERFUL TOOL FOR EMPOWERMENT • PARTICIPATION IS COMPLEX	**THE THEORETICAL ARGUMENTS UNDERESTIMATED:** • THE POTENTIAL FOR PARTICIPATORY APPROACHES TO ENHANCE OTHER FORMS OF ACCOUNTABILITY • THE DEGREE OF COMPLEXITY INVOLVED IN ENABLING PARTICIPATION TO OCCUR WITHIN A CHALLENGING ENVIRONMENT • THE DEGREE OF COMPLEXITY WHICH RESULTED FROM PARTICIPATION • THE DEGREE OF ETHICAL CHALLENGES ARISING FROM PARTICIPATION • THE EXTENT OF THE POTENTIAL FOR PARTICIPATION TO BE USED AS A PROCESS FOR RESPONDING TO POWER AND INEQUALITY • THE EXTENT TO WHICH PARTICIPATION WAS NEEDED TO SUPPORT EMPOWERMENT ***THE THEORETICAL ARGUMENTS DID NOT IDENTIFY:*** • THE POTENTIAL FOR PARTICIPATION TO BE USED AS A PROCESS FOR RESPONDING TO COMPLEXITY • THE DIFFERENCE BETWEEN PARTICIPATION USED WITHIN A LIBERAL OR LIBERATING EMPOWERMENT APPROACH	**IF PIP THE PRACTICE MODEL WAS TO BE FURTHER DEVELOPED:** • PARTICIPATION SHOULD BE ACKNOWLEDGED AND UTILISED BETTER IN REGARDS TO ITS POTENTIAL IMPACT UPON ALL FORMS OF ACCOUNTABILITY • THE DESIGN SHOULD NOT REFLECT A 'BLUE-PRINT' APPROACH TO PARTICIPATION OR EMPOWERMENT • PARTICIPATION SHOULD BE IDENTIFIED AS A CORE FUNCTION OF THE NGO; A PROCESS TO BE INTEGRATED INTO ALL ASPECTS OF ACCOUNTABILITY AND PRACTICE, NOT A PROJECT • UNDERLYING THEORIES OF LIBERATING EMPOWERMENT SHOULD BE INTEGRATED INTO THE PARTICIPATORY ASPECT OF THE DESIGN • A MODEL WOULD NEED TO FURTHER EXPLORE HOW PARTICIPATION COULD BE USED TO ADDRESS UPWARD ACCOUNTABILITY AND INEQUALITY WITH DONORS • PROCESSES SHOULD BE DESIGNED TO SUPPORT PARTICIPATION ON AN ONGOING LONG-TERM BASIS

Key aspect	Strengths of the original design	Weaknesses of the original design	Recommendations
Critical PIP	**The theoretical arguments correctly identified that:** • Power is evident between accountability stakeholders • NGO beneficiaries appear to be the least empowered accountability actor • Power emerges through language and control of knowledge generation (hidden power) • Beneficiaries' collective power could be enhanced through group work (power with) • How participatory processes can support individual empowerment (power within) • How capacity building can support individual agency (power to) • How critical awareness was in important aspect for addressing internal oppression • Time and resources are required to empower individuals • How power and oppression is influenced by recent and historic social factors; expressed at a micro, meso and macro level	**The theoretical arguments underestimated:** • The degree to which power manifested in NGO organisational systems • The extent of internal oppression manifested among group members • The extent and impact of invisible power • The extent and impact of hidden power • The complexity of power and empowerment **The theoretical arguments did not identify:** • The non-linear and episodic nature of empowerment • The importance of recognising liberal and liberating approaches to empowerment • How power was expressed by actors defining accountability around their own standpoints of scale • The sometimes contradictory nature of empowerment; how the choice not to participate can indicate empowerment • How brokering can support or inhibit empowerment	**If PIP the practice model was to be further developed:** • Further development of the practice model should be based upon a more nuanced understanding of power and empowerment • The practice model should be developed with specific strategies in mind for addressing manifestations of power in all its different forms • The practice model should explore further different standpoints of scale and how collaboration might address further disparities between actors • Processes should be designed to address inequality and to support empowerment

Key aspect	Strengths of the original design	Weaknesses of the original design	Recommendations
Systemic PIP	**The theoretical arguments correctly identified that:** • A holistic understanding supports the development of realistic means to enhancing accountability • Social Action can be used to inform a participatory approach which is sensitive to dimensions of power • A common description of the term and a simple accountability framework can aid communication between actors • Accountability is enhanced when different accountability actors are brought together • Accountability should not be constrained within projects	The theoretical arguments overestimated: • The ability to view accountability as a unified system with a common purpose • The ability to identify all accountability actors • The ability to engage accountability actors • Homogeneity between accountability actors **The theoretical arguments underestimated:** • The identification of accountability actors The changing relationship between accountability actors **The theoretical arguments did not identify:** • The importance of process • The importance of adaptivity • The importance of power and knowledge brokers; intermediaries between accountability actors • Standpoints of scale; different actors not only held different views but saw issues on different scales of importance	**If PIP the practice model was to be further developed:** • It is suggested that complexity theory should have a much more central focus in the design • Systemic theory should remain to inform the design, but as a complement to complexity theory • Systems theory should only be utilised as a starting point for understanding accountability, its limits should be explicitly stated if used • Further exploration is needed to assess how much the model can support liberating approaches to empowerment • The practice model should explore how issues can be better assessed and addressed at the macro level • Processes should be designed to ongoing systemic reflection • Complexity theory and adaptive theory should be incorporated into future design

Key aspect	Strengths of the original design	Weaknesses of the original design	Recommendations
Practical PIP	**The theoretical arguments correctly identified that:** • it is feasible to enhance accountability at minimal cost • action research and social action can provide a functional means to enhancing accountability • participatory approaches can be integrated into 'normal' NGO work • NGO collaboration can support the development of a realistic means of enhancing accountability • Accountability was explained to all stakeholders in a clear and concise manner	**The theoretical arguments underestimated:** • The complexity of the environment and the challenges it presented • The costs involved • The time involved • The practical impact of the design • The importance of a value-driven approach **The theoretical arguments did not identify:** • The importance of pragmatism • The importance of reflective practice • The importance of ongoing training and support of facilitators	**If PIP the practice model was to be further developed:** • The practice model requires further exploration within an NGO which is willing to integrate it into its core functions • Money and time should be dedicated within core functions of the NGO • Reflective practice should be incorporated into the design of the practice model • Practitioner training should be incorporated into the design of the practice model • The practice model should explore and enhance how staff are supported • Further development of the practice model should be more explicit regarding minimum costs • Further exploration is needed to assess the practical limitations of the model • The relevance of pragmatism should further be explored

APPENDIX C3: PIP GROUP MEMBERS' ADVICE TO OTHERS

	MAKINDYE	KAWEMPE
ADVANTAGES OF PIP	➢ LEARNING ABOUT ACCOUNTABILITY ➢ LEADERSHIP ➢ RESEARCH ➢ CONFIDENCE ➢ ENGLISH	➢ WE LEARNT HOW TO WORK TOGETHER ➢ LEARNT HOW TO SAVE ➢ EXPERIENCED RESEARCH ➢ EXPERIENCED LEADING ➢ LEARNT COMPUTER BASICS ➢ GOT CERTIFICATES ➢ CONFIDENCE ➢ GOT TO KNOW THE AREA BETTER
DISADVANTAGES OF PIP	➢ LANGUAGE ➢ RESEARCH CHALLENGES (WEATHER, DISRESPECT) ➢ COMMUNICATION AMONG MEMBERS ➢ DROP OUT	➢ ALLOWANCES, TRANSPORT ➢ FLOODS ➢ PEOPLE DISRESPECTING THE YOUTH ➢ PEOPLE DON'T TRUST US ➢ ENGLISH ➢ DIFFICULT TO WRITE PROPOSALS
ADVICE – FOR FACILITATORS	➢ BE RESPECTFUL ➢ BE SOCIABLE ➢ DON'T BE HARSH OR CRUEL ➢ BE CO-OPERATIVE ➢ BE FAITHFUL / HONEST	➢ BE FRIENDLY ➢ BE FAITHFUL – TELL THE TRUTH ➢ COME EARLY ➢ DON'T THINK YOU KNOW EVERYTHING ➢ GIVE OTHERS A CHANCE TO TALK
ADVICE – FOR NEW PIP GROUP MEMBER	➢ BE CO-OPERATIVE ➢ RESPECT EACH OTHER ➢ COMMUNICATE ➢ BE HONEST ➢ BE SOCIABLE ➢ TEAM WORK	➢ WORK TOGETHER ➢ KEEP TIME ➢ EXPECT MUCH ➢ LEARN MORE ➢ FEEL FREE ➢ ATTEND OFTEN ➢ SHOW INTEREST

	MAKINDYE	KAWEMPE
		➢ DON'T GIVE UP ➢ KNOW THAT WE WERE ALSO AFRAID TO START
ADVICE – FOR UYDEL AND OTHER NGOS	➢ COMMUNICATE WITH YOUTH ➢ LISTEN TO YOUNG PEOPLE ➢ SUPPORT YOUNG PEOPLE	➢ DON'T FORCE YOUNG PEOPLE TO JOIN ➢ AGE LIMITS SHOULD BE CLEAR ➢ BELIEVE IN YOUNG PEOPLE ➢ KEEP PROMISES MADE ➢ TRUST YOUNG PEOPLE
ADVICE FOR DONORS	➢ DON'T PUT TOO MANY CONDITIONS WITH FUNDING ➢ DON'T JUDGE A BOOK BY ITS COVER ➢ UNDERSTAND THE VIEWS OF THE PEOPLE ➢ BE APPROACHABLE	➢ MAKE SURE THERE IS ENOUGH TO ACTUALLY START BUSINESSES ➢ WE SHOULD BE ABLE TO TELL THEM WHAT THEY ARE DOING BAD ➢ GIVE US FEEDBACK ➢ WE SHOULD SUGGEST WHAT IS NEEDED, NOT THEM ➢ THE APPLICATIONS ARE DIFFICULT - MAKE THEM SIMPLER

APPENDIX C4: QUAM ACCOUNTABILITY SELF-ASSESSMENT FOR UYDEL AFTER IMPLEMENTATION OF PIP

QuAM standard	
Accountability basics	
A1. Your organisation has a clear understanding of who its stakeholders are, and for what and how it is accountable to them	**Improved**
A2. Your organisation is clear on which are its priority stakeholders	**Not addressed**
B. Accountable Governance	
Governance basics	
B1. Your organisation is legally registered with the appropriate authorities and complies with all relevant national legislation	**Not addressed**
B2. Your organisation has basic documents that formally identify where and how decisions are made	**Not addressed**
B3. Your organisation has a mission, vision, values and goals that are known throughout the organisation and shared with the public	**Improved**
B4. Your organisation has a strategic plan that has been developed through a participatory process, is shared publicly and against which progress is monitored and evaluated	**Improved**
B5. Your organisation produces an annual report that is disseminated widely and that lists: key financial figures, basic governance structures, activities undertaken and lessons learnt	**Improved**
B6. Your organisation actively ensures there are no conflicts of interest among staff and Board members	**Not addressed**
B7. Your organisation is consistent in what information it makes publicly available	**Not addressed**
Role of the Board in governance	
B8. Your Board periodically reviews the performance of the organisation in relation to the objectives set out in the strategic plan	**Not addressed**
B9. Your Board receives adequately detailed and timely information to perform its oversight functions effectively	**Not addressed**
B10. Your Board has a formal and transparent procedure for the election of new members that is based on merit and needed skills	**Not addressed**
B11. Your Board conducts regular evaluations of its own performance and capacity needs	**Not addressed**
B12. Your organisation involves beneficiaries in Board discussions and decisions	**Improved**
B13. Your Board has procedures for selecting, monitoring and evaluating the performance of the Executive Director/Head of the organisation	**Not addressed**
B14. Your organisation has a clear separation of roles between the Board and management	**Not addressed**
Accountable governance in CSO umbrella organisations	
B15. Your CSO umbrella organisation has clear membership criteria and a transparent process for accepting new members	**Not applicable**
B16. Your CSO organisation keeps a member's register that is updated regularly and made publicly available	**Not applicable**
B17. Your CSO umbrella organisation ensures the active involvement of members in the development of policy and strategy	**Not applicable**
B18. Your CSO umbrella organisation ensures meetings of the Board are open to all members	**Not applicable**
B19. Your CSO umbrella organisation ensures that decision-making is not dominated by a small group of members	**Not applicable**
C. Accountable Programmes	
C1. Your organisation has project and programme specific plans that link to and support the realisation of the overall mission and goals of the organisation	**Not addressed**
C2. Your organisation involves beneficiaries at all stages of the project planning process	**Improved**
C3. Your organisation provides beneficiaries with sufficient information to understand its objectives and activities	**Improved**
C4. Your organisation systematically monitors and evaluates its projects	**Improved**
C5. Your organisation involves beneficiaries in the monitoring and evaluation of projects	**Improved**
C6. Your organisation has made efforts to measure the long-term impact of its projects and programmes	**Improved**
C7. Your organisation incorporates learning from project and programme evaluations into the strategic planning process	**Improved**
C8. Your organisation has learning practices in place that involve a range of key stakeholders	**Improved**
C9. Your organisation has in place a process for handling and receiving complaints from beneficiaries on sensitive issues	**Improved**
Accountable programmes in CSO umbrella organisations	
C10. Your CSO umbrella organisation can demonstrate that it represents the collective voice of its membership	**Not applicable**
C11. Your CSO umbrella organisation actively engages members in the development of programmes and projects	**Not applicable**
C12. Your CSO umbrella organisation can identify how it has strengthened the organisational capacity of its members to achieve their goals	**Not applicable**
D. Accountable Resource Management	
Accountable human resource management	
D1. Your organisation recruits staff in a transparent manner according to merit	**Improved**
D2. Your organisation ensures staff receive regular feedback on their performance	**Improved**

QuAM standard	
D3. Your organisation has a staff development system (e.g. training, mentoring)	**Improved**
D4. Your organisation has built beneficiary accountability into staff inductions, appraisals and development plans	**Improved**
D5. Your organisation has in place internal staff policies on: recruitment, remuneration, promotion, disciplinary and grievance mechanisms, and health and safety.	**Improved**
Accountable financial resource management	
D6. Your organisation has its accounts audited annually and they are widely accessible.	**Not addressed**
D7. Your organisation has in place a procedure for staff to report in confidence and without fear of retaliation instances of internal fraud, waste and corruption	**Not addressed**
D8. Your organisation has in place effective systems to account for all income and expenditure and provide evidence that they were used for the purposes for which they were intended	**Improved**
D9. Your organisation reports relevant financial information to beneficiaries (e.g. budgets, expenditure, direct project costs)	**Improved**
D10. Your organisation only receives funds that are consistent with its mission or goals	**Not addressed**

APPENDIX D: INQUIRY TOOLS

APPENDIX D1: PIP MID-TERM EVALUATION INTERVIEW SCHEDULE

About you?		
1. Are you happy in your role as an RA?	Are you happy as a member of PIP?	
2. Are there any problems?		
3. Why did you first want to be an RA? What first interested you?	Why did you first want to be involved in PIP? What first interested you?	
4. How did you feel when you first started?		
5. What were your initial thoughts or impressions of PIP when you first started?		
6. Did you understand PIP when you first started?		
7. Do you understand PIP now or is anything still unclear?		

8. How much did you expect YP to achieve?	What did you expect from the PIP group?	
9. Are these expectations met? What do we still have left to do?		
10. What are the main things you learnt over the first 6 months?		
11. What have you achieved personally?		
12. Has your experience with the group changed you in any way?		
13. What challenges have you faced and how did you overcome them?		
About the group		
1. What do you think the group has achieved?		
2. How has the group changed? What's different about the group?		
3. What challenges has the group faced and how did they overcome them?		
The process		
4. What is good about PIP?		

5. What is wrong with PIP?	
6. Thinking about what we have done so far - Do you have any idea about what we could do differently to make PIP better if we repeated it?	
7. Thinking about the future - Do you have any idea about how PIP might be improved in the future?	
8. What was your favourite session? Why?	
9. What was your least favourite session? Why?	
10. Do you like sessions best where lead most; the RA leads most; or where your group leads the most?	

11. How do you think we make the sessions better?		
Training / replication		
12. What training have you received via PIP?		
13. Do you think you have been adequately supported?		
14. What training or support do you think you still need?		
15. Is there anything else we can do to help you?		
16. Do you think PIP could be replicated by an NGO like UYDEL? (entirely/partially/ not at all)	XXXXXXXXXXXXXXXXXXXXXXX	
17. Do you think you could continue PIP without Addy? - if not what training support would you need?	Do you think your PIP group could continue PIP now on your own without Addy or the RAs? - if not, what training support would you	

	need?	
18. Do you think you could train other RAs to do what you have done?	Do you think you could teach other young people to do what you have done?	
19. Do you think you could now repeat PIP without Addy – if not what training support would you need?	XXXXXXXXXXXXXXXXXXXXXXX	
20. Do you think PIP should be copied by UYDEL in other areas and by other NGOs – why?		
Accountability		
21. What did you know about accountability before you started?		
22. Do you think you now understand accountability?		
23. What does accountability mean to you?		
24. Has your idea / view on		

accountability changed?	
25. Have you noticed any changes in the link between UYDEL and the young people (how they listen to / work with)?	
26. Before PIP do you think UYDEL listened to / worked with young people?	
27. Do you think PIP has helped to improve how UYDEL listens to / works with young people?	
28. Is there anything we could do with the PIP group to help how UYDEL listens to / works with young people?	
Ethics	
29. Have you ever been worried that anything PIP has done might be unsafe / risky for anyone? (including yourself)	

30. Were these concerns resolved – if so how?	
31. Do you still have any concerns?	
32. Do you think that you could now identify potential risks / problems on your own? If not, what support training would you need?	
The future	
1. What do you want the PIP group to achieve in the future?	
2. How would we know if PIP was a success? What should PIP achieve/do to be a success?	

3. Do you have any fears or concerns about the group?	
4. Are there any personal reasons why it might be hard for you to continue with the group in the future? Is there anything that might help you continue with the group?	
Anything to add? (EXTRA NOTES)	

APPENDIX D2: IMPACT ASSESSMENT INTERVIEW SCHEDULE

1. Please can you update me about the progress of the PIP group after my departure.
2. What challenges did you face of continuing the PIP groups after my departure?
3. What do you consider the advantages and benefits of PIP?
4. What do you consider the challenges and problems of PIP?
5. If you were to give advice to new PIP facilitators what would your advice be?
6. If you were to give advice to new PIP youth members what would this advice be?
7. If you were to give advice to UYDEL what would this advice be?
8. If you were to give advice to other NGOs wanting to undertake something similar to PIP, what would your advice be?
9. If you were to give advice to donors what would your advice be?
10. Considering the 5 types of accountability (re-cap) what do you think PIP's impact is on:
    a. downwards accountability
    b. upwards accountability
    c. horizontal accountability
    d. internal accountability
    e. accountability by proxy
11. What you think should be the integral parts of PIP training?
12. Do you have any comments or further questions?

APPENDIX D3: IMPACT ASSESSMENT INTERVIEW SCHEDULE (PIP GROUP MEMBERS)

1. What are the advantages or good things about PIP?

2. What are the challenges or problems of PIP?

3. What is your advice for people just about to start up PIP?

a) What would you say to yourself if you could go back in time?

b) What advice would you give to facilitators?

c) What advice would you give to young people about to join a PIP group?

d) What advice would you give UYDEL if they were to start another group?

e) What advice would you give to a different NGO about to start PIP?

f) What advice would you give to the potential donors?

4. Before we started PIP did you know anything about accountability?

5. Has there been an impact or change on upward accountability?

6. Has there been an impact or change on internal accountability?

7. Has there been an impact or change on horizontal accountability?

8. Has there been an impact or change on accountability by proxy?

9. Has PIP changed you or your ideas at all?

WEEKLY PLANNING AND REVIEW

Date:	
Location:	
Staff Present:	

Review of Bwaise:

Review of Makindye:

Other Events:	
Problems / Issues / concerns	Solutions

Facilitation - What worked well?	Facilitation – What could be improved?
Activities – To do Bwaise	
Activities – To do Makindye	

Staff support training
Other:

SESSION EVALUATION SHEET

Name of person filling form:	
Position:	
Date:	
Location:	
Staff Present:	

Session Aim:		
Attendees:	Male:	Female:
	Under 18:	Over 18:
Session Cost:		

Please describe what actually happened:

Did everything go to plan? Did anything unexpected happen?
What do you think we learnt from the session?
What worked well?
What could be improved or issues that should be addressed - Thoughts for future sessions

Ethical review of session – (do you think any issues of concern arose? If so actions required. Were you emotionally affected by any issues arising?)
Data Captured and format: Is there a need for translation?
(e.g. video / pictures / voice recordings etc.)
Planning for next session:
What are we doing? Staff: Preparation / resources required:
Other: PTO

APPENDIX E: RESEARCH ETHICS

APPENDIX E1: INTRODUCTION LETTERS

dmu.ac.uk
DE MONTFORT UNIVERSITY
LEICESTER

My name is Adelaine Williams I am a researcher from De Montfort University in England. I am undertaking my PhD in international social work. In my PhD study, I am looking at how Non-Governmental Organisations (NGOs) ensure and demonstrate that they act responsibly (accountability) and who they listen to; work with and engage with children and young people (participation). NGOs must ensure and demonstrate their responsibility to lots of different stakeholders - such as their head offices, donors, local government, local community, and beneficiaries. Doing this can be extremely difficult and nearly all NGOs would admit to experiencing challenges in this area.

My research is about developing tools and methods (such as participation) that can be used by NGOs to enhance accountability. I am developing a model which I call PIP [Participatory Inquiry in Practice] which will offer NGOs practical and replicable tools and methods to enhance accountability. I'm drawing from both academic literature and practice experience to develop to a model which is useful and realistic.

To make sure the model works I will pilot PIP in Uganda throughout 2012. I am seeking individuals from NGOs, local government, local communities and beneficiaries to give me advice on the development of PIP. This is essential to make sure that that the model PIP is useful and replicable.

This research study has been given ethical approval by De Montfort University and follows the ethical guidelines for research established by the British Association of Social Workers (BASW). If you are willing the interview may be tape recorded. However I will endeavour to maintain your confidentiality and anonymity at all times. Digital recordings of the interview and electronic transcripts will be kept securely and password protected. Any features that could be used to identify an individual will be removed. At the end of the research all recordings will be erased and all data will be treated in accordance with the current Data Protection Act. You have the right to withdraw from the study at any time without giving a reason.

The resulting information may be used as part of my PhD and may be published within academic journals. A summary and full copy of the report will be made available to you upon request. Whilst greatly valued your participation is completely voluntary; you have the right to withdraw from this research at any time. If at any time you require any additional information or are unhappy with any part of the research please feel free to contact myself or my supervisor. Your participation in this research would be greatly appreciated. Kind Regards

[Adelaine Williams]

Researchers contact details: Adelaine Williams Email: p0830466@myemail.dmu.ac.uk	Supervising Lecturer: Professor Roger Smith Social Work Division De Montfort University Leicester LE1 9BH Tel: +44 (0) *116 257 7109* Email: *rssmith01@dmu.ac.uk*

My name is Adelaine Williams I am a researcher from De Montfort University in England. I am undertaking my PhD in international social work. In my PhD study, I am looking at how Non-Governmental Organisations (NGOs) ensure and demonstrate that they act responsibly (referred to within this study as accountability). In particular I am interested in how they listen to; work with and engage with children and young people (participation). NGOs must ensure and demonstrate their responsibility to lots of different stakeholders - such as their head offices, donors, local government, local community, and beneficiaries. Doing this can be extremely difficult and nearly all NGOs would admit to experiencing challenges in this area.

My research is about developing tools and methods that can be used by NGOs to enhance accountability. I am developing a model which I call PIP [Participatory Inquiry in Practice] which will offer NGOs practical and replicable tools and methods to enhance accountability. I'm drawing from both academic literature and practice experience to develop to a model which is useful and realistic.

To make sure the model works I will pilot PIP in Uganda throughout 2012. I am seeking individuals from NGOs, local government, local communities and beneficiaries to give me advice on the development of PIP. This is essential to make sure that that the model PIP is useful and replicable.

This research study has been given ethical approval by the university and follows the ethical guidelines for research established by the British Association of Social Workers (BASW). If you are willing the interview may be tape recorded. However I will endeavour to maintain your confidentiality and anonymity at all times. Digital recordings of the interview and electronic transcripts will be kept securely and password protected. Any features that could be used to identify an individual will be removed. At the end of the research all recordings will be erased and all data will be treated in accordance with the current Data Protection Act. You have the right to withdraw from the study at any time without giving a reason.

The resulting information may be used as part of my PhD and may be published within academic journals. A summary and full copy of the report will be made available to you upon request. Whilst greatly valued your participation is completely voluntary; you have the right to withdraw from this research at any time. If at any time you require any additional information or are unhappy with any part of the research please feel free to contact myself or my supervisor. Your participation in this research would be greatly appreciated.

Kind Regards

Adelaine Williams [Adelaine Williams]

Researcher's contact details:	Supervising Lecturer: Roger Smith
Adelaine Williams	Social Work Division
Email: p08304669@myemail.dmu.ac.uk	De Montfort University
	Leicester LE1 9BH
	Tel: *0116 257 7109*
	Email: *rssmith01@dmu.ac.uk*

DE MONTFORT UNIVERSITY

CONSENT FORM

Researcher: Adelaine Williams

Supervisors: Roger Smith and Jennie Fleming

Research study: PARTICIPATORY INQUIRY IN PRACTICE WITH CHILDREN AND YOUNG PEOPLE IN UGANDA

- I have read the attached information sheet [ ]
- I understand the purpose of the study and what I am being asked to do. [ ]
- I have had the opportunity to consider the information and ask questions. [ ]
- Any questions asked have been answered satisfactorily and I am aware that if I have any further questions I can contact the researcher at any time. [ ]
- I am aware that the research is voluntary and that I can withdraw without giving a reason [ ]
- I give consent that the interview to be recorded and kept in accordance with the Data Protection Act [ ]
- I give consent for the information collected to be included in the research, published and used to inform the development of the model PIP [Participatory Inquiry in Practice]. [ ]

Consent given by:

Name: _____
Signature: _____
Date: _____/_____/_____

Conditions agreed by: Adelaine Williams
Signature: _____
Date: _____/_____/_____

Supervising Lecturer: Roger Smith
De Montfort University
Leicester LE1 9BH
Tel: 0116 257 7109
Email: rssmith01@dmu.ac.uk

DE MONTFORT UNIVERSITY

CONSENT FORM

Researcher: Adelaine Williams

Supervisors: Roger Smith and Jennie Fleming

Research study: PARTICIPATORY INQUIRY IN PRACTICE WITH CHILDREN AND YOUNG PEOPLE IN KAMPALA

- I have read the attached information sheet [ ]
- I understand the purpose of the study and what my child is being asked to do. [ ]
- I have had the opportunity to consider the information and ask questions. [ ]
- Any questions asked have been answered satisfactorily and I am aware that if I have any further questions I can contact the researcher at any time. [ ]
- I am aware that the research is voluntary and that I or my child can withdraw without giving a reason [ ]
- I give consent that the interview to be recorded and kept in accordance with the Data Protection Act [ ]
- I give consent for the information collected to be included in the research, published and used to inform the development of the model PIP [Participatory Inquiry in Practice]. [ ]

Consent given by:

Name: _____
Signature: _____
Date: _____/_____/_____

Conditions agreed by: Adelaine Williams
Signature: _____
Date: _____/_____/_____

Supervising Lecturer:

Roger Smith
De Montfort University
Leicester LE1 9BH
Tel: 0116 257 7109
Email: rssmith01@dmu.ac.uk

UGANDA YOUTH DEVELOPMENT LINK (UYDEL).

BIFRO House Sir Apollo Kaggwa Road opposite Makerere Business Institute (MBI)
P.O. Box 12659 Kampala --Uganda
Tel: +256-0414-530353/+256 772573031 +256 772 470 190 / +256 776700555; E-mail: kasiryer@yahoo.com
Programs on: Drug and substance abuse; Child Rights Protection, HIV/AIDS Prevention care and Support, Adolescent Sexual Reproductive Health, Child Labour; Child Trafficking and Research

Further ,

- ☑ I grant UYDEL, the lead researcher Adelaine Williams and De Montfort University unconditional rights to use these images, in whole or in part and to make them available to UYDEL's client for non – profit educational, editorial, or other non-commercial use, without requiring UYDEL, the lead researcher Adelaine Williams and De Montfort University to notify me, seek permission or owe any form of compensation.
- ☑ I also give UYDEL, the lead researcher Adelaine Williams and De Montfort University permission to use my name in
  - ☑ captions or text that accompanies my image
  - ☑ In stories that highlight my participation with the Participatory Inquiry in Practice (PIP) group i.e. newsletter
  - ☑ I understand that these images will be used in an appropriate and respectful manner. I confirm that these were taken with my knowledge and consent.

Date	Group	Area	Facilitators

☐ Please tick to confirm that facilitators have explained the following: Purpose of focus group / who facilitators are / What research will be used for / FGD does not promise funding / confidentiality / anonymity / right to withdraw / use of recording & data protection – EXPLAIN IN BASIC TERMS & OFFDER OPPORTUNITY FOR QUESTIONS

#	NAME	AGE	MALE / FEMALE	DISABILITY YES/NO	SIGN IF HAPPY TO TAKE PART
1					
2					
3					

APPENDIX E3: TRAVEL RISK ASSESSMENT - SUMMARY

Probability = the chance of an event occurring; **Vulnerability** = High vulnerability equals inability to cope with an event that has occurred; **Impact** = worst case scenario

RISK = Probability x Vulnerability x Impact

VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
25	50	75	100	125

LIMIT OF ACCEPTABLE RISK – SHOULD NOT EXCEEDE 80 (equal to 4x4x5)

- Threats that are most likely to occur – Petty theft and parasites
- High risk threats that should be avoided when possible – Long distance travel by public transport
- Threats with unacceptable risk levels that should always be avoided – Elections and Boda Bodas

Health

Note: The researcher has experience of living in tropical environments and developing countries. Specialist health training with VSO (Voluntary Services Overseas) has previously been undertaken. A specialist first-aid kit has been obtained. A list of recommended medical facilities has been obtained. The researcher will be taking the anti-malarial doxycycline and has agreed to go for a specialist post-departure travel check-up if suffering from persistent symptoms upon return. The researcher is well insured and will carry an emergency card at all times.

Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Malaria	Situation awareness and use of local knowledge Know locations of recommended medical facilities Carry emergency card Ensure valid and relevant insurance – know restrictions Ensure water quality – carry water purification tablets/filter cup Ensure clean food preparation, eat at recommended restaurants Avoid ice, salad, street food, frozen dairy products Carry hand sanitizer Use mosquito net / sprays / repellent coils, cover up at night Iron clothes Get rid of stagnant water close to accommodation Treat minor wounds as soon as possible Take anti-malaria tablets and malaria treatment Take recommended vaccinations Don't swim in fresh open water Don't walk barefoot Undertake PEP training – ensure accessibility of PEP kit Carry malaria treatment, sterile needles, dioralytes, anti-diarrhoeal tablets, antibacterial and antifungal creams in first-aid kit/ Carry malaria diagnostic kit if in remote locations Take holidays, exercise and take up a hobby Take out adequate insurance	Be aware of symptoms for common and high risk ailments Seek medical treatment if exhibiting symptoms especially if severe or persistent Treat minor ailments using specialist first aid kit for minor ailments (skin infection etc) Keep hydrated Contact insurer Contact Interhealth for advice Contact The NGO for logistic support if required - The NGO Office will assist in organising extraction /medivac if necessary Specific to context If exposed to HIV / AIDS - use PEP kit according to training; report incident; undertake test at 3 and 6 months; counselling support will be offered. Rabies - Seek immediate medical treatment if bitten or scratched by animal Stress - negotiate work load and time off Malaria – seek medical assistance when exhibiting symptoms even if taking anti-malaria tablets. Test and treat self only when access to medical facilities is not possible.	2	3	5	30 LOW
Disease			1	3	5	15 V. LOW
Rabies			1	4	5	20 V. LOW
Parasites			5	3	4	60 MED
Stress			4	3	2	24 V. LOW
Contaminated Food & Water			3	2	3	18 V.LOW
HIV / AIDS			1	4	5	20 V.LOW
Minor ailments			3	2	3	18 V.LOW

Travel
Note: The research design has been developed to encompass minimal travel. Where long distance travel is required all efforts will be made to avoid using local transport and to instead use a NGO vehicle. The researcher has agreed to avoid using Boda Bodas at all times.

Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Accident (The NGO Transport)	Situation awareness and use of local knowledge Undertake in country security briefing Make colleagues aware of travel plans Ensure good vehicle condition Ensure communication systems are working Ensure good preparation – first aid kit, travel docs, emergency triangles, water, jack, spare wheel etc Use seatbelts, helmets, lock doors, only partially open windows Carry emergency card, leave copy of details with local office Carry copies of key documents Avoid high risk routes Never travel alone at night Leave plenty of time for travel Keep to an appropriate speed Use recommended pre-arranged taxis at night Do not travel outside of major cities at night Drivers should be local, assessed and regularly trained Avoid travel in adverse weather conditions Do not use boda bodas Long distance travel using public transport should be avoided whenever possible. Be aware of recommended local medical facilities Be aware of possible accommodation on long journeys (especially when using public transport) Report inappropriate behaviour of driver Ensure valid insurance and know policy limitations	Use local knowledge to assess appropriate response during an incident When necessary seek medical assistance – carry out first aid Contact The NGO office as soon as safe to do so The NGO Office will assist in organising extraction /medivac if necessary Contact insurer if necessary Cooperate with police and local officials Submit incident report (even if near miss) If acts of aggression, ensure partners and security networks are notified. In major incident a de-briefing should be undertaken and counselling provided where necessary <u>Specific to context</u> Road block – avoid if possible, discretely contact office, turn off radio, keep valuables out of sight, don't be antagonistic Hijacking – to prevent; vary routes and times. In response; hand over vehicle without argument, don't be antagonistic. Breakdown - If stranded and approaching night (secure vehicle if possible when using The NGO transport) and find local accommodation. Accident - Secure accident site to prevent further harm; If an individual has been harmed by The NGO vehicle - leave the scene immediately and go to a local police station; if remaining at site monitor situation carefully for hostility.	3	4	5	<u>60</u> MED
Accident (Long distance public transport)			4	4	5	<u>80</u> HIGH
Break Down			4	3	2	24 V.LOW
Road Ambush / Hijacking			1	4	5	20 V.LOW
Road blocks / checkpoints			1	1	3	3 V.LOW
Boda Bodas (local)			4.5	4	5	**<u>90</u> HIGH**
Private Hire Taxi			2	3	5	30 LOW
Minibus Taxis			3	3	5	45 LOW
Cycle Boda Bodas			1	1	3	3 V.LOW

Crime
Note: The NGO has agreed to assist the researcher in finding suitable accommodation. Within the scoping visit, this would involve staying at recommended hotels often used by the organisation. All documents will be virtually backed-up and key documentation and emergency details will be emailed to the researcher and left with key contacts.

Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Petty Theft (on person)	Situation awareness and use of local knowledge Risk assess all accommodation – bad location, unsafe entrance, bars on windows, ground floor, tree to window, recommended or not, shared or on own, security lighting. Don't exhibit wealth – e.g. using ipod in town Don't travel to new /unknown areas alone Vary routes and routine Don't carry valuables in back pack Use money belt - Split cash – carry emergency cash and theft money Do not walk alone at night Carry an alarm Do not consume excessive amounts of alcohol Secure accommodation when out – own padlock, draw curtains. Secure accommodation when in – lock entrance door, close windows, usedoor stop if door not secure Keep copies of all important docs – scan and send to self Keep details of valuable items for insurance purposes Password protect and encrypt personal data Take out adequate insurance Limit use of ATMs and internet cafes Carry emergency card – leave emergency details with someone that you can memorise telephone number for and with the NGO	When necessary seek medical assistance – carry out first aid Contact The NGO office as soon as safe to do so The NGO Office will assist in organising extraction /medivac if necessary Locate copies of key documents and insurance details Contact insurer if necessary Contact British embassy to replace passport etc if necessary Cooperate with police and local officials – will possibly need a police incident report for insurers Submit incident report If acts of aggression, ensure partners and security networks are notified. In major incident, a de-briefing should be undertaken and counselling provided where necessary	5	2	3	30 LOW
Theft from accommodation (whilst out)			3	3	2	18 V.LOW
Theft from accommodation (whilst at home)			3	4	5	60 MED
Confidential document loss			3	3	3	27 LOW

Civil Unrest

Note: The researcher has agreed not to travel during the election period. The 2011 general elections are programmed to be undertaken by March 1st at the latest. The initial scoping visit is anticipated to take place after March 21st. However, a flexible ticket will be booked and the researcher will follow the advice given by the UK's Foreign and Commonwealth Office (FCO). If the FCO advises against travel at the anticipated time of the scoping visit, the visit will be postponed until further notice is given.

Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Demonstration / Riots / Crowds	Situation awareness and use of local knowledge Listen to local news and UN / British Council security briefings Be aware of local context & events– religious events, elections, rival groups Be aware of how context relates to your organisation, gender, religion, ethnicity, nationality Make colleagues aware of travel plans Do not take photos of demos, protests religious festivals etc Follow The NGO Guidance regarding hibernation, suspension, evacuation Do not undertake long distance travel during major events Work in partnership with local communities Be wary of large expatriate gatherings which may be a target Take out adequate insurance Make sure copies are kept of all key documents and emergency contacts Keep emergency supplies – food, water, light, fuel, toilet paper at home and office in case of need to hibernate	Keep a low profile – dress inconspicuously, be aware of displaying potentially significant colours, political signs, religious jewellery etc Be aware of exit points When necessary seek medical assistance – carry out first aid Contact The NGO office as soon as safe to do so The NGO Office will assist in organising extraction /medivac if necessary Contact insurer if necessary Submit incident report (even if near miss) ensure partners and security networks are notified. In major incident a de-briefing should be undertaken and counselling provided where necessary Specific to Context Demos / riots – if in car – slow down, change direction, drive through if unable to avoid. Lock door, undo seatbelt Demos / riot – on foot – raise arms if being carried by crowd, seek cover indoors, make sure you are aware of exit routes. Explosions – on foot – drop and lie flat with head away from explosion – open mouth – if possible crawl into ditch, behind wall or into building without raising profile. Leave area as soon as possible. Do not move until certain there will not be a secondary explosion. Explosions – in car – stop vehicle, get out fast, continue as you would if on foot Explosions – in building – drop to ground, move away from window and to inner room	2	3	5	30 LOW
Acts of Terrorism /Explosions (at scene)			2	5	5	50 MED
Acts of Terrorism / Explosions (Not at scene)			3	3	4	36 LOW
Elections			4	4.5	5	**90** **HIGH**

Acts of Aggression / Other Harm						
Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Sexual or violent Assault	Situation awareness and use of local knowledge Listen to local news and UN / British Council security briefings Be aware of local context & events– religious events, elections, rival groups Be aware of how context relates to your organisation, gender, religion, ethnicity, nationality etc Make colleagues aware of travel plans Don't exhibit wealth – e.g. using ipod in town Don't travel to new /unknown areas alone Vary routes and routine Do not walk alone at night - Carry an alarm Do not consume excessive amounts of alcohol Avoid bars where crime is known to take place Carry radio or mobile phone Ensure there is not an opportunity for drinks / food to be contaminated Dress unobtrusively and appropriately Socialise in groups Share accommodation rather than living alone Avoid unsafe, isolated or poorly lit locations Take out adequate insurance Undertake PEP training – ensure accessibility of PEP kit Be respectful of local culture and norms Work in partnership with local communities, make sure they are aware of org and positive work undertaken Ensure community sensitisation especially for sensitive work, be clear about purpose and output of work Build strong relationships with community and community leaders Avoid socialising with uniformed personnel Ensure security of work location and availability of fire extinguisher, first aid kit etc Take out adequate insurance	When necessary seek medical assistance – carry out first aid Contact The NGO office as soon as appropriate The NGO Office will assist in organising extraction /medivac if necessary Contact insurer if necessary Submit incident report (even if near miss) ensure partners and security networks are notified. In major incident a de-briefing should be undertaken and counselling provided where necessary <u>Specific to Context</u> Sexual assault – In the event of rape post-exposure prophylaxis is held at the NGO office and should be taken in accordance with training. A HIV test should be taken at 3 and 6 months Targeted attack – Find and stay in safe location, remain calm and no- antagonistic, use community leader to mediate argument Abduction / kidnapping – Obey orders, do not be antagonistic. To relate to captors' human side. Be careful about disclosing information. Take mental notes of as much information as possible. The NGO will agree media plan, contact embassy and security networks / partnership. CEO will contact family.	2	4	5	40 LOW
Targeted Attacks on Staff			1	1	3	3 V.LOW
Abduction / kidnapping			1	4	5	20 V.LOW

Misc						
Threat / Hazard	Mitigation – Control Measure		Probability	Vulnerability	Impact (Worst Case)	Overall RISK after control
Photography	Situation awareness and use of local knowledge All photography needs permission from the field director Informed consent must be obtained for photos Do not take photos of military, official or diplomatic sites Do not take photos of major events e.g. demonstrations Be careful when disclosing views on homosexuality and potential impact on work Never disclose details of an individual who is homosexual Be aware of areas of previous fighting plus types of weaponry and use of land mines Undertake hostile environment security training Never touch unknown objects Keep to well-trodden tracks – do not wonder off main paths – talk to locals about safety of routes (UXO and snakes) If hiking wear boots and trousers Do not assume an object to be safe Be aware of presence of demining groups such as MAG Don't walk where you can't see your feet Be wary of rivers (for UXO and crocs) talk to locals and ask if safe Be aware that heavy rain can move or uncover new threats Avoid piles of rubble Know local warning signs for UXO and mines Carry emergency card – leave copies of emergency details Avoid areas of conflict such as karamoja as advised by the Foreign and Commonwealth Office (FCO) Know location of recommended medical facilities Carry first-aid kit Carry mobile phone or radio Take out adequate insurance Inform colleagues of travel plans Be aware of local laws, respect cultural norms and practices Do not socialise with military, police officers or political leaders Be aware of exit routes in office and accommodation Keep fire extinguisher (or sand bucket if not available) and first aid kit at office and accommodation	When necessary seek medical assistance – carry out first aid Contact The NGO office as soon as safe to do so The NGO Office will assist in organising extraction /medivac if necessary Contact insurer if necessary Submit incident report (even if near miss) ensure partners and security networks are notified. In major incident a de-briefing should beundertaken and counselling provided where necessary Where a situation has arisen through conflict with community. E.g. by taking photograph or expressing views on homosexuality, community mediation should be undertaken <u>Specific to Context</u> UXO – if found – Do not approach or touch, mark site at a distance, photograph if possible, contact de-mining group and security network Gunfire – if not the target and on foot – lie flat, crawl to ditch if possible Gunfire – if target and on foot – move rapidly out of sight from attacker, put as many barriers as poss between you and gunfire Gunfire – if in building – drop to ground; move away from window and into inner room. Land Mine - if found (even if colleague injured) do not move or try to retrace steps. Inform others to stop. Radio or call for help. Arrest or detention – Contact The NGO to see if they can negotiate release or agree fine payment. Contact British Embassy, make every attempt to not be held in cells, even if this means agreeing to be held elsewhere. Use community mediation if possible. Fire – Put out fire if not putting self at risk. If attempting to put out fire stay near exit. It is unlikely that emergency services will respond. Evacuate building- keeping below	1	2	2	4 V.LOW
Views on Homosexuality			2	2	2	8 V.LOW
Unexploded Ordinance (UXO) or Land Mines			1	2	5	10 V.LOW
Fighting (inc gunfire)			1	2	5	10 V.LOW
Harm caused by natural disasters			2	2	4	16 V.LOW
Arrest or detention			2	2	4	16 V.LOW
Fire / Accidents (non-traffic)			2	3	5	30 LOW

Threats from animals (snakes, crocodiles etc)	Keep back- up copies of important information Keep fuel stored away from main building. Do not travel during severe weather or immediately afterwards Know local areas travel routes that might be prone to mudslides after severe weather Undertake hostile environments security training.	smoke level, covering nose and mouth. Warn neighbours. Snake bite – keep bite below heart level and immobilise. Wrap firmly with bandage. Seek medical assistance. Do not apply tourniquet, suck or cut bite.	1	5	5	25 MED

APPENDIX F: PRACTICE ETHICS

APPENDIX F1: CHILD PROTECTION POLICY DEVELOPED FOR THIS INQUIRY

PARTICIPATORY INQUIRY IN PRACTICE (PIP)

CHILD PROTECTION POLICY

Whilst it is possible to refer to this policy as a standalone document, this child protection policy is written in accordance with the child protection policy implemented by Uganda Youth Development Link (UYDEL). It is written to supplement their existing policy to take into account research dimensions of the Participatory Inquiry in Practice (PIP) pilot that is being led by Adelaine Williams and is being hosted by UYDEL.

1. TERMINOLOGY

The lead researcher:	Adelaine Williams
UYDEL:	Uganda Youth Development Link
UYDEL Management:	Management of Uganda Youth Development Link
Staff:	Staff of Uganda Youth Development link who are engaged with Adelaine Williams' study and any individual employed specifically to facilitate the study.
Third parties:	Any other person engaged with the study; introduced to or given access to the children / young people by the lead researcher or any staff member. This may include (but is not limited to) - consultants, contractors, guests, visitors, volunteers, academic supervisors or media representatives.
Child:	For the purposes of this policy, a "child" is defined as anyone under the age of 18, in line with the UN Convention on the Rights of the Child.
Young Person:	An individual aged 18 - 24
Abuse:	According to the World Health Organisation, "Child abuse" or "maltreatment" constitutes 'all forms of physical and/or emotional ill-treatment, sexual abuse, neglect or negligent treatment or commercial or other exploitation, resulting in actual or potential harm to the child's health, survival, development or dignity in the context of a relationship of responsibility, trust or power.'

2. EMPLOYMENT

- In all interviews candidates will be asked questions relating to child protection and safeguarding.
- Potential staff members will be asked to sign a personal declaration stating any criminal convictions, including spent convictions.
- Potential staff members will be asked to provide the name and contact information of **two** character references they have known for no less than two years, excluding family members.

- All staff members will be asked to sign a commitment to the Child Protection Policy and Code-of-Conduct as part of any contract given.
- All staff members will undergo induction training - this will incorporate training on the code-of conduct. Child protection policy, incident reporting, informed consent, confidentiality and anonymity

3. Management

The lead researcher will be responsible for the day-to-day implementation, supervision and monitoring of the Child Protection Policy and code-of-conduct. The disclosure of personal information about children, including legal cases, will be limited to those employees, contractors, trustees, officers, interns and volunteers who need to know.

4. Training

Training and education are essential to implementing the Child Protection Policy. The lead researcher will ensure that orientation training about the Child Protection Policy and code-of-conduct is given to all staff members during their induction. This will include training on behaviour guidelines for those in direct contact with children, and guidance on the acceptable and unacceptable sharing of information on children.

Each session with children / young people will be followed by a staff debriefing session, where staff will be given the opportunity to discuss ethical considerations, voice concerns, and receive additional training /support on issues raised.

Materials on child protection will also be made available to all staff members.

5. Code of Conduct

The lead researcher, UYDEL managers, staff members and third parties will be fully informed of the Code-of-Conduct. The Code-of-Conduct includes guidance on appropriate behaviour of adults towards children and of children towards children.

6. Communications about Children

All publications and the website that include images and text related to children will not contain the following:

- Manipulated or sensationalised text and/or images
- Discriminatory and degrading language
- Images in which children are inappropriately clothed
- Information that could be used to identify the location of the child and cause them to be put at risk

As stated in the code-of-conduct photos of children that will be included on the website or any of our publications must be taken with consent. In addition, all information relating to children is limited to those members of staff who need to know and will be treated as confidential.

7. Incidents

- UYDEL and the lead researcher recognise that assistance may come in the form of referrals to relevant agencies rather than the provision of direct care. As such a list of local agencies that deal with issues relating to child protection and to whom children can be referred (e.g., social services, emergency medical help, psychologist, paediatrician etc.) will be made available to all staff.
- All incidents or suspected incidents should be reported in accordance with **the code-of-conduct** utilising the **incident reporting form**
- All staff will be made aware that the reporting of suspected or actual abuse is a professional and legal obligation. Failure to report information can lead to disciplinary action or dismissal
- Before action is taken incidents will be discussed with the 'lead researcher' and a UYDEL manager to ensure a culturally sensitive and appropriate course of action is taken. The only exception to this is where the child or young person may be in immediate danger.
- If the incident is related to, or raises a methodological concern, it may also be discussed with the researcher's supervisors in Uganda or the UK.

8. Ramifications of Misconduct

Any staff member, third party, researcher or manager who is alleged to have violated the code-of-conduct or the Child Protection Policy, will be immediately suspended pending the outcome of an investigation.

Any individual who is found to have committed a gross violation of the code-of-conduct or child protection policy will be immediately dismissed without reference.

Adelaine Williams as lead researcher and Uganda Youth Development Link (UYDEL) reserves the right to take any disciplinary action against any of the above who have been proven guilty in an investigation, which may include reporting the incident to the police.

The above statement will be highlighted in each staff members' contract.

9. Quality Assurance

This code-of-practice has been developed with the best interests of the child at heart it should be interpreted in a spirit of transparency and common sense with the best interests of the child as the primary consideration. As part of the policy's design, this document was approved for use by De Montfort University's ethics board and Uganda Youth Development Link.

This is a working document and as such may be subject to amendments or additions. Staff and third parties will be notified of any amendments / additions and will be asked to sign that they have be informed of changes and that they agree to adhere to any changes.

APPENDIX F2: CODE-OF-CONDUCT DEVELOPED FOR THIS INQUIRY

1. Terminology

The lead researcher:	Adelaine Williams
UYDEL:	Uganda Youth Development Link
UYDEL Management:	Management of Uganda Youth Development Link
	Rogers …..
	Anna ……
Staff:	Staff of Uganda Youth Development link who are engaged with Adelaine Williams' study and any individual employed specifically to facilitate the study.
Third parties:	Any other person engaged with the study; introduced to or given access to the children / young people by the lead researcher or any staff member. This may include (but is not limited to) - consultants, contractors, guests, visitors, volunteers, academic supervisors or media representatives.
Child:	For the purposes of this policy, a "child" is defined as anyone under the age of 18, in line with the UN Convention on the Rights of the Child.
Young Person:	An individual aged 18 - 24
Abuse:	According to the World Health Organisation, "Child abuse" or "maltreatment" constitutes 'all forms of physical and/or emotional ill-treatment, sexual abuse, neglect or negligent treatment or commercial or other exploitation, resulting in actual or potential harm to the child's health, survival, development or dignity in the context of a relationship of responsibility, trust or power.'

2. Working with Children & Young people

This Code of Conduct includes guidance on appropriate and expected standards of behaviour of adults towards children, and also of children towards other children. It has been developed with the best interests of the child as the primary consideration and should be interpreted in a spirit of transparency and common sense with the best interests of the child as the primary consideration.

DO NOT	DO

Do not: Be alone with a child in a closed space (if in a room make sure the door is open)	**Do:** Avoid placing yourself in a compromising or vulnerable position when meeting with children (e.g. being alone with a child in any circumstances which might potentially be questioned by others). Meet with a child in a central, public location whenever possible.
Do not: Ignore risks and dangers within the working environment	**Do:** Develop clear rules to address specific physical safety issues relative to the local physical environment of a project (e.g. for projects based near water, heavy road traffic, railway lines).
Do not: Encourage any crushes by a child, suggest inappropriate behaviour or relations of any kind – even as a joke	**Do:** Fill out an incident report form if a situation occurs involving a child which may be subject to misinterpretation.
Do not: Develop a sexual relationship with a child.	
Do not: Allow a non-professional relationship or friendship to develop with a child or young person outside the work environment.	**Do:** Try to be alert to physical and emotional states of children you are working with
Do not: Make physical contact with a child in an inappropriate or culturally insensitive way	**Do:** Wait for appropriate physical contact, such as holding hands, to be initiated by the child.
Do not: Do things of a personal nature that a child could do for him/herself, including dressing, bathing, and grooming.	
Do not: Sleep in the same bed / area as a child	
Do not: Show favouritism or spend excessive amounts of time with one child.	**Do:** Treat all children and young people equally
Do not: Discipline children by use of physical punishment or by failing to provide the necessities of care such as food, shelter or medical attention.	**Do:** Discuss appropriate behaviour at start of sessions with children and young people
Do not: Display discriminatory, prejudicial or oppressive behaviour or language towards children	**Do:** Encourage and respect children's voices and views.
Do not: Use language that will mentally or emotionally abuse any child.	**Do:** Provide an enabling environment for children's personal, physical, social, emotional, moral and intellectual development.
Do not: Do not yell or call children names or act in any way that intends to embarrass,	**Do:** Be aware of the power balance between an adult and a child and avoid taking advantage of

shame, humiliate or degrade a child	this
Do not: Show discrimination of race, culture, age, gender, disability, religion, sexuality, political persuasion or any other status.	**Do:** Be inclusive and involve all children without selection or exclusion on the basis of gender, disability, ethnicity, religion or any other status.
Do not: Engage in or allow sexually provocative games to take place with or between children.	**Do:** Be alert to child-to-child inappropriate physical contact
Do not: Do not place children in high-risk peer situations. (e.g. unsupervised mixing of older and younger children and possibilities of discrimination against minors).	**Do:** Be aware of the potential for peer abuse (e.g. children bullying, discriminating against, victimising or abusing children).
Do not: Stand aside when they see inappropriate actions inflicted by children on other children because it is frequent and commonplace.	**Do:** Develop special measures/supervision to protect younger and especially vulnerable children from peer and adult abuse.
Do not: Promise secrecy to a child who discloses abuse to you	**Do:** Always report abuse or suspected abuse

3. Confidentiality, Anonymity & Communication

CONSENT

- No data, materials, photography or digital media should be captured or recorded from children or young people until informed consent has been attained.
- The **'informed consent guidelines'** must be followed when seeking consent from a child or young person.

PERMISSION TO SHARE INFORMATION

- Unless explicit permission is granted by the lead researcher, staff are not permitted to discuss or disclose personal information from any child or young person
- Unless explicit permission is granted by the lead researcher, staff are not permitted to discuss or disclose any story, incident or event pertaining to any aspect of work. This includes discussing cases or the day's events with husbands, wives, peers, colleagues, children or partners; posting facebook messages with comments or pictures etc.
- The lead researcher may grant permission to share information to specific individuals / organisations if:
    - (After consultation with UYDEL management) A child protection issue has arisen and it is seen as in the best interest of the child or young person who is at risk.

- If it is appropriate for dissemination purposes of the study and content has been checked by the lead researcher for breaches in consent, anonymity or confidentiality.

PHOTOGRAPHY & DIGITAL RECORDING

- Staff or third parties may only take photos or capture data where this is a properly planned and executed exercise.
- Staff or third parties must not take photographs of tactically sensitive places (military installations, airports etc), of particular individuals such as the police or soldiers, in public places (e.g., Kinshasa) and during events (demonstrations/rallies etc).
- All photography and digital recording needs permission from the lead researcher.
- Informed consent of a child at the least and preferably from their duty-bearer as well should be obtained.
- Compliance with our organisational child protection policy is required in all photography.

4. Incidents

CHILD PROTECTION INCIDENTS:

- Any concern, (no matter how minor) should be raised and discussed with the lead researcher
- UYDEL and the lead researcher will provide assistance to any child or young person involved in our projects in order to protect them from further harm where it is within our mandate, capacity and ability to do so.
- UYDEL and the lead researcher and staff should recognise that assistance may come in the form of referrals to relevant agencies rather than the provision of direct care.
- The reporting of suspected or actual abuse is a professional and legal obligation. Failure to report information can lead to disciplinary action or dismissal
- After being made aware of suspected or actual abuse, the notified individual must fill out an **incident reporting form** as soon as possible and submit this to the lead researcher and UYDEL management
- Completed incident reporting forms must remain confidential to the child, reporting person, lead researcher and UYDEL Manager. They should be kept in a locked container / filing cabinet.
- Upon negotiation the lead researcher and UYDEL manager will decide upon appropriate next steps. No further action should be taken without combined approval from the lead

researcher and UYDEL manager. The only exception to this is when a child or young person is in immediate danger.

- A list of local agencies that deal with issues relating to child protection and to whom children can be referred (e.g., social services, emergency medical help, psychologist, paediatrician etc.) will be made available to all staff.
- Suspicions of abuse involving personnel from local partners should be reported in the same way

OTHER INCIDENTS:

Any other incident that involves personal injury; or any event that may have an impact on the study or the work of UYDEL should be recorded and the lead researcher should be notified.

5. General Staff Conduct

WEAPONS & FIREARMS:

- Weapons or firearms must not to be brought into our offices or into a meeting in which staff participate.

BRIBES & APPRECIATIONS

- Staff are not permitted to accept or give bribes.
- Bribes of any nature will not be reimbursed to staff members.
- If appreciation of an individual's support – after the fact - is considered appropriate in the development of a relationship, then this will need to be approved by the lead researcher and UYDEL Management, to ensure it is done in an accountable and transparent manner that is not open to misinterpretation.
- If appreciation is provided to a member of staff it must be reported to the lead researcher and UYDEL Management – the appreciation must be recorded and any conflict of interest registered.
- If appreciation is provided to a member of staff before they undertake the activity for which they are being appreciated this will be considered a bribe and so must not be accepted.
- Members of staff who actively solicit for gifts from a beneficiary, community or from any other source (including sexual favours) this will be considered gross misconduct and will result in immediate dismissal. Where appropriate. In such cases the lead researcher and UYDEL management will consider whether to pursue criminal charges.

DRUGS, ALCOHOL SMOKING:

- Staff are not permitted to consume alcohol prior to coming to work or during working hours. Drinking is not permitted and a zero tolerance approach is adopted, even where drinking

one or two bottles of beer at lunch time is not considered “drinking” because it is believed that this level of consumption does not lead to drunkenness.

- The use of drugs for recreational purposes is illegal in Uganda. There is a zero tolerance attitude toward the consumption of illegal substances such as drugs, even when not at work. (Note - this does not apply to prescribed medication). Staff known to be utilising illegal substances in or outside of the work place will be immediately dismissed as this poses a security threat and threat to the organisational reputation.

- Smoking during sessions is prohibited. Breach of this regulation may result in disciplinary action being taken.

STAFF HEALTH:

- It is the responsibility of staff, if receiving any prescription drugs, to consult their doctor about side effects, and whether or not they are permitted to operate motor vehicles or are in a fit state to work with children or young people.
- It is the responsibility of staff to make the lead researcher aware if they are suffering from any communicable disease such as TB. This is particularly important as children or young people may be immune deficient and close exposure may put them at unnecessary risk.
- It is the responsibility of staff to make the lead researcher aware if they are suffering from any personal or emotional situation that may affect their ability to work with children or young people.

PREGNANCY:

- Pregnancy among staff members is not seen as a hindrance to performance, but it is recognised that it requires a different approach to security management, and deeper responsibility for the staff member concerned. As such pregnant staff should make the lead researcher and UYDEL management aware of the situation. Consequently, a full risk assessment and on-going monitoring will be utilised to support the staff member and to ensure a safe working environment.

FUNERALS:

- Regardless of local custom, UYDEL or the lead researcher is not in a position to support funeral costs of staff, staff family, participants or beneficiaries. Promises should not be made and expectations should not be raised regarding this issue.

CIVIL DISTURBANCE / UNREST & OTHER RISKS

- Staff are not expected to work at times of civil disturbance or unrest
- When using hire transport, drivers should be told to avoid protests, demonstrations etc.

- Staff should immediately make the lead researcher and UYDEL management aware of any potential security risk, civil disturbance or unrest that that they become aware of or hear about
- Staff should make children and young people aware that they should not attend sessions at times of civil disturbance or unrest
- Staff should make children and young people aware that they should not attend sessions if this poses a risk to their safety in any way (e.g. if Kawempe is experiencing heavy rains and flooding)

DRESS CODE

- Staff are expected to dress appropriately for each session in accordance to what is locally appropriate. No short skirts, shorts or particularly revealing attire.

6. Transport

ALL TRANSPORTATION USED IN THE COURSE OF WORK (BEYOND THAT USED TO TRAVEL TO NORMAL PLACE OF WORK) MUST BE APPROVED IN ADVANCE BY THE LEAD RESEARCHER – USE THE **TRAVEL APPROVAL FORM.** TRANSPORT UTILISED WITHOUT COMPLETING THIS FORM IN ADVANCE WILL NOT BE REIMBURSED.

REIMBURSEMENT

- Staff are responsible for transport & transportation costs within Kampala
- When working outside Kampala transport and transportation costs should be approved by the lead researcher **prior to utilisation**. A travel approval form must be completed in advance.
- Transportation costs will only be reimbursed when they are approved in advance by the lead researcher.

WEAPONS & FIREARMS

- Transport will not be granted to anyone carrying a weapon or firearm.
- Staff are not permitted to utilise transport where any driver or passenger is carrying a weapon or firearm. In exceptional circumstances this policy may be reviewed but explicit permission must be granted by the lead researcher or a UYDEL manager prior to travel.

APPROPRIATE USE

- Hire vehicles should be used for work purposes only. They **should not** be used to pickup goods or passengers. However, a vehicle may be used to carry goods or persons in exceptional circumstances at the discretion of the lead researcher - for example, if a child or

member of a community needs medical treatment and they do not have transport to the hospital or providing a lift for a particular person will enhance our security through local acceptance. Use of vehicle will be at the discretion of the lead researcher. In cases where the lead researcher is not present and cannot be contacted, the person in charge of the team will be responsible for making this decision. Passengers must agree to board at their own risk – particularly in cases where the passenger is in need of medical attention.

VEHICLE SAFETY

- Hire vehicles (cars and motorbikes) must be approved by the lead researcher prior to departure and must be driven by licensed, trained and qualified drivers.
- Seatbelts must be worn at all times when in a vehicle and doors should be locked.
- Hire vehicles must be equipped with:
    - Basic repair and maintenance and traffic control equipment (in the event of a breakdown/accident)
    - A first aid kit (can be obtained in advance by the lead researcher)
    - Researchers must have working mobiles with credit
    - If travelling outside of Kampala appropriate vehicle communications must be agreed by the lead researcher, prior to departure
    - Food and water supplies must also be carried if travelling outside of Kampala
- Unless it is an emergency situation, no one is permitted to ride in the back of a pick-up truck.
- All vehicles must be driven within national speed limits
- All vehicles must be driven with consideration of the care and safety of passengers, pedestrians and other vehicle users

NIGHT USE & POOR CONDITIONS

- Staff are not permitted to travel at night or to organise the transportation of children and young people at night without explicit prior permission given by the lead researcher and UYDEL management.
- When driving conditions are considered poor or dangerous then the lead researcher must be consulted and the risks assessed against the purpose of the journey prior to travel authorisation being provided. Extra care, especially with speed, is required in poor/dangerous driving conditions.

MOTORBIKES

- If staff utilise a motorbike through the course of their duty, they must wear a helmet and the relevant protective gear, including waterproofs when it is raining.

- No staff member, under any circumstances, is permitted to ride a motor bike without a **helmet,** including as a pillion passenger.

7. Third Parties

Third parties are required to ensure that they and their staff comply with this code of conduct and the child protection policy. The penalties for breaches in the child protection policy must be clearly spelt out in any contracts with financial penalties associated with them and, where relevant, make explicit the intention to prosecute.

All third parties should be inducted to the code of conduct and child protection policy.

Third parties requesting to take their own pictures/digital media or to the use of images or other materials should be briefed by the research leader and are required to agree to stipulated conditions regarding the proper use of the materials.

All third parties are required to sign **'The Statement of Commitment for Third Parties'.**

8. Whistle Blowing

If a member of staff believes that a colleague, including senior colleagues, are in breach of the code-of-conduct, policies, procedures and protocols, or behaving in a manner that is inconsistent with the aim of fostering the security of other staff, partners and children and their carers then they are obligated to report this. This should only be done if the member of staff has genuine grounds to believe that a conversation with the person concerned will not correct their behaviour.

When there is a serious breach of compliance this must be reported to the lead researcher and / or UYDEL management.

9. *QUALITY ASSURANCE*

This code-of-practice has been developed with the best interests of the child at heart. It should be interpreted in a spirit of transparency and common sense with the best interests of the child as the primary consideration. As part of the policy's design, this document was approved for use by De Montfort University's ethics board and Uganda Youth Development Link.

This is a working document and as such may be subject to amendments or additions. Staff and third parties will be notified of any amendments / additions and will be asked to sign that they have been informed of changes and that they agree to adhere to any changes.

APPENDIX F3: INCIDENT REPORTING FORM DEVELOPED FOR THIS INQUIRY

PARTICIPATORY INQUIRY IN PRACTICE (PIP)

INCIDENT REPORT FORM

If you have knowledge that a child's safety might be in danger, please complete this form to the best of your knowledge. For confidentiality reasons, the report should be written and signed solely by you. It will be held in a secure location and will be treated in the strictest confidence.

1. PART 1 – ABOUT THE PERSON REPORTING

YOUR NAME:	
YOUR JOB TITLE:	
YOUR RELATIONSHIP TO THE CHILD:	
YOUR TEL:	
YOUR EMAIL:	
SIGNATURE:	
DATE:	

2. PART 2 – ABOUT THE CHILD

CHILD'S NAME:	
CHILD'S GENDER:	
CHILD'S AGE:	
CHILD'S ADDRESS:	

Appropriate Means of Contacting Child:	
Child's Guardians:	

3. Part 3 – About the Incident

Date of Alleged Incident:		Time of Alleged Incident:	
Location of Alleged Incident			
Name of Alleged Perpetrator			

1. Was the abuse observed by you?	Yes	No
	If yes – Please describe incident as witnessed by you If No – Please note incident as described by person reporting – Do not lead or infer	
2. Please describe the incident:		

[Please continue on separate sheet if Necessary]

3. What was/is the child's physical and emotional state?	
4. Has the child said anything to you, and how did you respond?	
5. Were there any other people involved?	
6. What response have you taken, if any, to the alleged incident?	

NAMES AND SIGNATURE OF ADDITIONAL WITNESSES TO THE ALLEGED INCIDENT:		
NAME:	CONTACT:	SIGNATURE:

DEALING WITH DISCLOSURE OF ABUSE BY A CHILD

When a child informs you that they are uncomfortable with a specific person's behaviour towards them you should:

- Reassure them that they were right to report the behaviour
- Listen carefully and ask clarifying questions to ensure you report the incident accurately
- Do not repeat the same questions back to the child as this may give them impression that you do not believe them
- Don't promise secrecy to a child. Be open and honest about the fact that you must report their allegation
- Ensure the physical safety and psychological well being of the child is secured. This may include referring them for medical treatment or to a psychologist
- Make sure you report exactly what has been said rather than any inferences you have made
- Do not allow personal doubts to prevent you from reporting an allegation
- Explain to the child what you are going to do and what will happen next. Ensure they are informed at every stage of the process

Statement of Commitment for Third Parties

"I _____ [NAME] have read and understood the: -

☐ Child Protection policy

☐ Code-of-Conduct

"I understand and agree with the principles contained within the Participatory Inquiry in Practice (PIP) 'child protection policy' and 'code-of-conduct'. I promise to abide by these codes and policies when engaging with any child or young person who is linked to Uganda Youth Development Link (UYDEL) or the Participatory Inquiry in Practice (PIP) Pilot.

I understand the confidentiality policies which mean that it is unacceptable to discuss or record activities (through photography, film, sound etc.) without prior consent.

I understand that failure to abide by the code-of-conduct or child protection policy may result in legal action being taken".

Print Name:	
Signature:	
Date:	

APPENDIX F4: SAFEGUARDING INTERVIEW GUIDANCE DEVELOPED FOR THIS INQUIRY

ANNEX D

ADDRESSING CHILD PROTECTION IN INTERVIEWS

Prior to the interview the child protection policy should be given to all shortlisted candidates who will be asked to read it prior to interview

1. DURING THE INTERVIEW

The interview should pay attention to:

- Gaps in employment history
- Frequent changes of employment or address
- Reasons for leaving employment (especially if it seems sudden)
- Seek to clarify any duties or accomplishments that come across as 'vague' in a CV in relation to work with children
- Body language and evasion, contradiction and discrepancies in answers given (although this should be interpreted in a spirit of common sense)

2. SUGGESTED QUESTIONS FOR CANDIDATES:

- Have you ever worked anywhere where a colleague abused a child? What happened and how was it handled? What did you think of the way it was handled? Would you have handled it differently yourself?
- Why is a child protection policy important and how do you think it relates to the position you are applying for?
- When might it be appropriate and inappropriate to be alone with a child?
- How and when might it be appropriate to comfort a child?
- What sort of things might make a photograph of a child unfit for publication?

3. WARNING SIGNS:

- Overly smooth presentation / eagerness to please
- Poor listening or rapport or communication skills
- Strange / inappropriate questions / statements about children
- Seems interested in spending time alone with children / working with children of a particular age or gender
- Excessive interest in child photography
- Background of regular overseas travel to destinations where child sex tourism is prevalent

In spite of these questions and the serious subject matter it is important to end the interview on a positive note and to convey a commitment to the protection of children.

APPENDIX F5: ETHICS CHECK QUESTIONS FOR YOUTH-LED RESEARCH

Ethics Questions

- ☐ Have you checked to ensure that there is no prospect of any harm coming to participants?
- ☐ Have you checked to ensure that there is no prospect of any harm coming to yourself or any other members of the research team?
- ☐ Does your research conform to the principle to informed consent, so that research participants understand:
  - What the research is about?
  - The purpose of the research?
  - Who is sponsoring it?
  - The nature of their involvement in the research?
  - How long their participation is going to take?
  - That their participation is voluntary?
  - That they can withdraw from the research at any time?
  - What is going to happen to the data (e.g. how they are going to be kept)?
- ☐ Do you appreciate that you should not divulge information or views that your research participants given you to anyone outside the research team (including other research participants)?
- ☐ Have you taken steps to ensure that your research participants will not be deceived about the research and its purposes? Or that expectation of funding etc is not unrealistically raised?
- ☐ Have you taken steps to ensure that the confidentiality of data relating to your research participants will be maintained and that the names of your research participants are not identifiable?
- ☐ (Adapted from Bryman 2012, page 153)

APPENDIX F6: COLLABORATIVELY DEVELOPED ETHICS GUIDANCE

ETHICS GUIDANCE

Work together

Look for opportunities to work together. Work together as a group, as an organisation, as a group of organisations. Work together with local officials and other groups with a concern for the same issue. A unified voice is more powerful than a single voice.

Don't just criticise – help to find solutions

Criticism is easy to do – finding solutions can be much harder. Rather than just criticising and leaving people with a problem that they must deal with, look for things that could be done - offer ideas about solutions to problems.

Be neutral

Your own political ideas and views shouldn't affect your research; don't take political side – let the evidence talk; try to look at every side of the story; don't let your research get hijacked by political parties for their own interests.

Be positive

Don't just focus on what are wrong and negative things. Look for examples of good practice; what people are doing right; people that have found solutions to your problem.

Be honest

Don't be secretive about what you're doing – tell people honestly; tell LCs and UNCST get the right permissions; tell anybody that asks; were not hiding anything!

Look for common interests

You don't necessarily need to push against those in authority, find out what common ground and interests you have.

Clear motivation

You need to be clear to yourself and clear to others about why you are doing this research. What do you want to achieve / change? Why did you pick this subject? Be honest about your motivation.

Not win / loose

Nothing in life is simple and there are no simple answers. Avoid the temptation to look for 'good guys' and 'bad guys' or to find over simplified solutions. Acknowledge complexity and avoid answers that forces the only option to be win or loose – it's never that simple and that approach will make people defensive.

Encourage accountability

You need to be accountable for your research – why did you select this subject, methodology etc.? Are your findings presented responsibly? Was your research done in a safe an ethical way?

Encourage officials to be accountable – ask them questions join discussions and debates. BUT – do this in the right way and in the right forum. Discuss don't attack!

APPENDIX G: ETHICS APPLICATIONS AND APPROVAL

APPENDIX G1: UNCST APPLICATION TO CONDUCT RESEARCH IN UGANDA – FORMS RC1 & RC6

UNCST/RC 1

THE REPUBLIC OF UGANDA

UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

APPLICATION FOR PERMISSION TO CONDUCT RESEARCH

(N.B. Read instructions and guide in Annexes I and II before completing this form)

FOR OFFICIAL USE

APPLICATION No _____

FIELD OF RESEARCH _____

PROJECT No _____

SECTION A: PARTICULARS OF APPLICANT

1. Full Name: Adelaine Williams (Underline Surname)
2. Male [ ] Female [√] (Please tick (3))
3. Date and Place of Birth: [redacted]
4. Marital Status: [redacted]
5. Nationality [redacted]
6. (i) Permanent Address:

[redacted]

[redacted]

(ii) Address of Institution of affiliation in Uganda

[redacted]

7. Current Immigration Status*: Tourist

8. Present Occupation Status:

[redacted]

9. Education (i)

University	Qualification	Class	Year	Field of Specialization
De Montfort University	PhD International Social Work	N/A	Expected Oct 2013	NGO accountability an participation with childr / young people
De Montfort University	MRes Social Work	Merit	2010	
De Montfort University	PgDip Youth Work and Community Development	Merit	2010	
Coventry University	BSc International Disaster Engineering and Management	2:1	2003	

(ii) Postgraduate research experience, with list of publications, if any (use additional paper if necessary).

.....

.....

(iii) Names, qualifications and status of personnel involved in the research:-

Name	Qualifications	Status*
Adelaine Williams	MRes, PgDip, BSc	Lead Researcher
To be confirmed		Research assistant
To be Confirmed		Research assistant

*STATUS with regard to the project

+Delete whichever is inapplicable.

SECTION B: MAIN FEATURES OF RESEARCH PROJECT

10. Title of research project:
Participatory Inquiry in Practice [PIP] – Exploring accountability of Non-Governmental Organisations [NGOs] with children and young people in Kampala

11. Main objective of research
To explore theory, challenges and best practice relating to accountability in order to create a realistic and replicable model to enhance accountability for Non-Governmental Organisations (NGOs) working with children and young people.

12. Brief outline of research methodology:
The overarching methodology of this study utilises a specific form of 'Action Research' defined as collaborative inquiry'. Bray et al (2000) state that this is 'a process of reflection and action through which groups of peers strive to answer a question of importance to them' (Bray et al, 2000:6).
An advisory group comprising of - an academic, NGO practitioners, children, young people, local officials, funders and consultants will be brought together to explore the issue of accountability – identifying challenges and best practice.

To facilitate this process of action and reflection – a small NGO project will be run over the duration of a year. The project will start with problem identification and then will move on to research; action planning; monitoring; evaluation and impact assessment. Throughout the year the advisory group will reflect upon issues of accountability in order to create a replicable model for NGOs. This model is referred to as Participatory Inquiry in Practice [PIP]

13. Research type (Please tick (3)):

[√] Degree Award [ ] Non-degree Award

(If Degree Award, state type of degree e.g BA, MSc or Ph.D etc, and the institution awarding it)

PhD - De Montfort University, Leicester, England

14. Districts of Uganda in which research will be carried out:

Kampala (Kawempe and Makindye Divisions)

15. (i) Estimated cost: $60,250

(ii) Source of funds: The UK Government's Economic Social Research Council (ESRC)

(iii) Duration: 3 years total - 1 year in Uganda

16. BREAKDOWN OF EXPENDITURE:

(This table must be filled by all applicants)

ITEM	Year 1 (US$)	Year 2 (US $)	Year 3 (US$)	Total (US$)
Personnel	13,000	10,000	13,000	36,000
Travel*	N/A	1,500	750	2,250
Materials & Supplies	1,000	1,000	1,000	3,000
Administration	N/A	1,000	N/A	1,000
Results dissemination	N/A	N/A	1,000	1,000
Other (Translators)	N/A	5,000	1,000	6,000
Contingency	3,000	5,000	3,000	11,000
TOTAL	17,000	23,500	19,750	60,250

*Both local and international.

19. Name and address of organization recommending/sponsoring the candidate (P.O. Box Number, Telephone Numbers, street/Plot number, city/town)

Uganda Youth Development Link (UYDEL)

20. Project duration: 1year

Signature of Researcher.....

[Adelaine Williams]

Date.....

Uganda National Council for Science and Technology

P.O.Box 6884 Kampala Tel: +256-414-250499 Fax:

RECEIPT

No. **6057** Date: 26/03/12

Received with thanks from ..... Adelaine Williams (SS 2719) .....

The sum of Shillings/US Dollars **** SEVEN HUNDRED ELEVEN THOUSAND UGX AND 0 CENT

Being payment for..... S & T Research & Admin Clearance Fees .....

Cash/Cheque No. :

UGX 711,000.00

UGANDA NATIONAL COUNCIL FOR SCIENCE & TECHNOLOGY P O BOX 6884 KAMPALA ACCOUNTS UNIT

Signature & Official Stamp

APPENDIX G2: ORIGINAL BUDGET AND PROJECT PLAN SUBMITTED TO UNCST

ITEM	Year 1 (US$)	Year 2 (US $)	Year 3 (US$)	Total (US$)
Personnel	13,000	10,000	13,000	36,000
Travel*	N/A	1,500	750	2,250
Materials & Supplies	1,000	1,000	1,000	3,000
Administration	N/A	1,000	N/A	1,000
Results dissemination	N/A	N/A	1,000	1,000
Other (Translators)	N/A	5,000	1,000	6,000
Contingency	3,000	5,000	3,000	11,000
TOTAL	17,000	23,500	19,750	60,250

		Month 1	Month 2	Month 3	Month 4	Month 5 (1st half)	Break (1 month)	Month 6 (2nd half)	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12	Month 13 - 18	Evaluation and Dissemination	
																1	2
Start-up	**Baseline**						X										
	Group formation						X										
	Development of success criteria						X										
	Community consultation and sensitisation						X										
	Capacity building						X										
Inquiry	**Problem identification**						X										
	Skills development						X										
	Tools development						X										
	Data collection						X										
	Data analysis						X										
	In-house presentation of findings						X										
Activities	**Activity identification**						X										
	Activity planning						X										
	Monitoring and evaluation training						X										
	Activity implementation						X										
	Activity evaluation 1						X										
Evaluation & Dissemination	**Activity evaluation 2**						X										
	Process evaluation						X										
	Dissemination planning & material production						X										
	Dissemination						X										

APPENDIX G3: APPROVAL LETTER FROM UNCST

Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

UNCST

Our Ref: SS 2719 **26 April 2012**

Ms. Williams Adelaine
C/o Department of Social Work and Social Administration
Makerere University
Kampala

Dear Ms. Adelaine,

RE: RESEARCH PROJECT, "PARTICIPATORY INQUIRY IN PRACTICE (PIP)- EXPLORING ACCOUNTABILITY OF NON-GOVERNMENTAL ORGANIZATIONS WITH CHILDREN AND YOUNG PEOPLE IN KAMPALA"

This is to inform you that the Uganda National Council for Science and Technology (UNCST) approved the above research proposal on **20 March 2012.** The approval will expire on **20 March 2013.** If it is necessary to continue with the research beyond the expiry date, a request for continuation should be made in writing to the Executive Secretary, UNCST.

Any problems of a serious nature related to the execution of your research project should be brought to the attention of the UNCST, and any changes to the research protocol should not be implemented without UNCST's approval except when necessary to eliminate apparent immediate hazards to the research participant(s).

This letter also serves as proof of UNCST approval and as a reminder for you to submit to UNCST timely progress reports and a final report on completion of the research project.

Yours sincerely,

Leah Nawegulo
for: Executive Secretary
UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

LOCATION/CORRESPONDENCE

Plot 6 Kimera Road, Ntinda
P. O. Box 6884
KAMPALA, UGANDA

COMMUNICATION

TEL: (256) 414 705500
FAX: (256) 414-234579
EMAIL: info@uncst.go.ug
WEBSITE: http://www.uncst.go.ug

APPENDIX G4: APPROVAL LETTER FROM THE OFFICE OF THE PRESIDENT

THE REPUBLIC OF UGANDA

OFFICE OF THE PRESIDENT

PARLIAMENT BUILDING P.O.BOX 7168 KAMPALA, TELEPHONES: 254681/6, / 343934, 343926, 343943, 233717, 344026, 230048, FAX: 230409/236143
Email: secretary@op.go.ug, Website: www.officeofthepresident.go.ug

ADM 154/212/01

May 8, 2012

The Resident District Commissioner
Kampala District

This is to introduce to you **Ms. Williams Adelaine** a Researcher who will be carrying out a research entitled **"Participatory inquiry in practice (PIP) – Exploring accountability of non-governmental organizations (NGOs) with children and young people in Kampala"** for a period of **01 (one) year** in your district.

She has undergone the necessary clearance to carry out the said project.

Please render him the necessary assistance.

By copy of this letter **Ms. Williams Adelaine** is requested to report to the Resident District Commissioner of the above district before proceeding with the Research

Alenga Rose
FOR: SECRETARY, OFFICE OF THE PRESIDENT

Copy to: Ms. Williams Adelaine

APPENDIX H: HUMAN RESOURCES AND ADMINISTRATION

PARTICIPATORY INQUIRY IN PRACTICE [PIP]

MEMORANDUM OF UNDERSTANDING

HOST ORGANISATION

UGANDA YOUTH DEVELOPMENT LINK (UYDEL)

BIFRO House, Sir Apollo Kaggwa Rd P.O. Box 12659, Kampala, Uganda

Represented by Anne Nabulya

Deputy Executive Director of UYDEL

LEAD RESEARCHER

ADELAINE WILLIAMS

PhD Researcher in International Social Work at De Montfort University

---

1. Introduction

This agreement is based on the principle of reciprocity and expresses the interest of all parties in exchanging knowledge in the belief that partnership will enhance mutual understanding and practice.

This Memorandum of Understanding (MoU) pertains to the PhD study – Participatory Inquiry in practice [PIP] that shall be undertaken by Adelaine Williams (The Lead Researcher). This study shall be supervised by De Montfort University and will be facilitated via a partnership with Uganda Youth Development Link (UYDEL) who has agreed to host the study.

This is a year-long 'action research' study will explore the application of accountability mechanisms utilised by Non-Governmental Organisations (NGO). The study will inform the development of a model of practice referred to as Participatory Inquiry in Practice or PIP. As part of the action research process, accountability mechanisms will be developed, piloted and evaluated via the simulation of an NGO project which will be led by children and young people.

To ensure viability and critical reflection the study will be supported by an advisory group consisting of multiple stakeholders.

This study is funded by the UK Government's Economic Social Research Council (ESRC) and has been granted ethical approval from De Montfort University, England. Supervision is provided by Professor Roger Smith and Jennie Fleming of De Montfort University. Adelaine Williams is a visiting associate of Makerere University, social work department with Dr Stella Neema acting as local supervisor.

2. Timeframe

Field work in Uganda will be undertaken with the approximate end date of Nov 10th 2012, when the Lead Researcher is due to return to the UK. The study/thesis is intended to be completed by the Lead Researcher by Oct 2013. It will then be subject to an examination and review before it is approved and ready for public dissemination.

3. Resources & Costs

2.1. The Lead Researcher is responsible for all costs associated with the study including (but not limited to) - employment of research assistants, translators or interpreters; administrative costs; application to the Ugandan National Council for Science and technology (UNCST).

2.2. UYDEL has agreed that the Lead Researcher can utilise their premise without charge, where use is not in conflict to and does not obstruct normal activities.

2.3. The Lead Researcher will be responsible for the associated costs of publishing the academic thesis, journal articles and 'master copies' of practitioner / organisational papers (in any medium) that arise as a result of the research. UYDEL will be responsible for any costs associated with any replication of 'master that the organisation wishes to produce.

4. Ethics, Code-of-Conduct & Child Protection

3.1. Child safeguarding and protection is of upmost importance to both parties. Subsequently PIP's ethical procedures, code-of-conduct and child protection policy are written in accordance with UYDEL's safeguarding and child protection policy and agreed for use by UYDEL.

3.2. Any staff employed by the Lead Researcher will be contractually obligated to abide by PIP's code-of-conduct and child protection policy. Any other third parties introduced to the study (e.g. volunteers, media representatives) will also be asked to sign a commitment to PIP's code-of-conduct and child protection policy

3.3. To ensure a context appropriate and locally sensitive response, child protection concerns arising through the course of the study will be raised with UYDEL management who will advise and lead an appropriate response.

3.4. De Montfort University has overall responsibility in guiding and supervising the researcher in all issues pertaining to research ethics.

3.5. The Lead Researcher will make UYDEL aware of any issues arising from the study or security concerns which may have an impact on the organisation or its beneficiaries.

3.6. UYDEL will make the Lead Researcher aware of any issues or security concerns which may have an impact on the study or its participants.

3.7. Members of the advisory group will be agreed by both parties and asked to sign a MoU which confirms their commitment to confidentiality anonymity. The MoU will be designed and agreed by both parties prior to use.

5. Communication and Supervision

4.1. As part of the study an advisory group meeting will be held on a monthly basis.

4.2. In order to facilitate the research, enhance organisational learning and inform appropriate and critical design PIP both parties agree to fortnightly meetings between the Lead Researcher and a member of local UYDEL staff, unless exceptional circumstances arise on behalf of either party. (Fortnightly meetings may encompass advisory group meetings.)

4.3. UYDEL management are welcome (but not required) to attend fortnightly meetings and advisory group meetings. A monthly report will be submitted to UYDEL management by the

Lead Researcher to ensure they are informed of progress even when they cannot attend meetings.

4.4. De Montfort University has the main responsibility for supervision of this study. This study is also locally supervised by Dr Stella Neema from Makerere University.

4.5. The Lead Researcher is a 'visiting associate' of the Department of Social Work at Makerere University, Kampala. As a part of this associate position the lead researcher is obliged to facilitate seminars where the on-going research may be presented and discussed with social work students.

6. Use of Research and Knowledge ownership

5.1. This PhD study is funded by the Economic Social Research Council (ESRC), as a requirement of the funding the final thesis must be made available to the general public. A requirement of the Ugandan Council of Science and Technology (UNCST) also requires that a copy of the thesis is made publically available within Uganda. As such both parties agree to make the findings of the study publically available in the UK and Uganda without charge.

5.2. Publications relating to PIP will exhibit logos belonging to UYDEL and De Montfort University.

5.3. Either party may advertise / publicise the research progress (not findings) prior to thesis publication on websites, newsletters etc. If the content is approved by both parties prior to release.

5.4. Whilst authorship remains the responsibility of the Lead Researcher, UYDEL will be given the opportunity to review any publications produced where the organisation is referred to. UYDEL has the right to request organisational anonymity is they so wish, prior to publication of any document.

5.5. The study will define the term and model known as 'Participatory Inquiry in Practice (PIP)', great care has been taken to differentiate this term from other models and forms of research, as such the term or model should not be changed, adapted or modified without the consent of both parties.

5.6. Once the study is completed UYDEL and the Lead Researcher may embark on further joint or individual publication. However, if UYDEL's organisational name; the researcher's name or the term 'Participatory Inquiry in Practice' is being used (and this is not cited and referenced to a previously published document) new content should be agreed by both parties prior to publication.

7. OTHER

6.1. Either party may withdraw from the study giving one months' notice. In cases where there has been a grievous violation of the-code-of conduct or child protection policy by either party the partnership may be immediately terminated.

6.2. In the event that the MoU is terminated by either party, data gathered may still be utilised by the Lead Researcher but any relationship to UYDEL will be given anonymity.

THE HOST ORGANISATION: UGANDA YOUTH DEVELOPMENT LINK

Signed: _____

Represented by - Name: _____

Position: _____

Date: _____

THE LEAD RESEARCHER

Signed: _____

Name: _____

Date: _____

INTERVIEW QUESTIONS FOR RESEARCH ASSISTANTS

Date of Interview:

Location of interview:

Name: _____

D.O.B: _____ Age: _____

Address: _____

_____

_____

Contact telephone: _____

Email: _____

BACKGROUND

	SCORE
Education (check against CV and summarise)	
	Highly relevant = 4 Some relevant = 2 No relevant = 0
Employment (check against CV and summarise)	
	Highly relevant = 4 Some relevant = 2 No relevant = 0
Do you have any experience of working with children, young people or vulnerable/marginalised adults?	
	Highly relevant = 4 Some relevant = 2 No relevant = 0

What do you think are important skills of working with children / young people?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
Do you have experience of translating / interpreting?	
	Highly relevant = 4 Some relevant = 2 No relevant = 0
What are important skills of translating – important rules to follow?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
Do you have experience of working on computers? If yes what programmes can you use?	
	Highly relevant = 4 Some relevant = 2 No relevant = 0

MOTIVATION & SKILLS

	SCORE
Why have you applied for this job?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
What skills do you think can you bring to this role?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
Participation is important in this study – what do you understand by the term participation? Have you used participatory approaches before?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0

Why is a child protection policy important and how do you think it relates to the position you are applying for?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
In research confidentiality and anonymity is important – what do you understand by these terms?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0
This study adopts a 'rights-based approach' – what do you understand by the term? Have you used a rights-based approach before?	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0

LOCAL KNOWLEDGE

The following questions are to explore your understanding of insider/outsider research, neutrality and impartiality. SCORE

Are you familiar with the local area or the children / young people that might use this service? How?	
	N/A
If a researcher is **familiar** with those they are doing research with how might this be - an **advantage** - a **disadvantage**	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0

If a researcher is **unfamiliar** with those they are doing research with how might this be - an **advantage** - a **disadvantage**	
	Strong answer = 4 Reasonable answer = 2 Poor answer = 0

AVAILABILITY OF WORK

The following questions are to check the applicants availability of work.

Are you free up to 3 days a week? (Up to 20hrs per week)	Yes / No
Your allowance will be paid per session (approx. 4 ½ hrs. in duration). When are you normally available?	

	Mon	Tues	Wed	Thurs	Fri	Sat	Sun
AM							
PM							

If given early notice can you be flexible about working hours? – e.g. could you work occasional weekends?	Yes /No
Your normal location as research assistant will be within Kampala – specifically Bwaise, Makindgey and Makerere – Your allowance is intended to cover transport within Kampala, as such it is your responsibility to provide your own transportation within Kampala – no per diems, transport supplements, accommodation or lunch expenses will be paid to you unless travelling beyond Kampala. Do you understand and agree?	Yes / No
When are you available to start work?	

INTERVIEW FEEDBACK

- We will contact you in the next few days to tell you if your interview was successful
- If you were not successful we are happy to give you feedback regarding why, if you want it
- If your interview was successful you will be given
    - The code-of-conduct
    - Child protection policy
    - Reference request forms
    - Pre-employment form
    - Copy of a contract to review
- EVEN IF SUCCESSFUL AT INTERVIEW **YOU WILL ONLY BE OFFERED EMPLOYMENT AFTER** WE
    - RECEIVE AND CONFIRM TWO REFERENCES
    - ONCE WE HAVE CONFIRMED THAT YOU DO NOT HAVE ANY CRIMINAL CONVICTIONS OR CHARGES OF CONCERN
    - ONCE YOU HAVE SIGNED THE PRE-EMPLOYMENT FORM AGREEING TO ABIDE BY OUR CODE-OF-CONDUCT AND CHILD PROTECTION POLICY

APPENDIX H3: PRE-EMPLOYMENT FORM

PRE-EMPLOYMENT FORM

Employment with the PIP Pilot is subsequent to:

- Signing **section 1** of this document – indicating **commitment** to the 'child protection policy' and the 'Code of Conduct'
- Satisfactory completion of **section 2** of this document – **Declaration** of Criminal Convictions
- The receipt and verification of 2 satisfactory **references**

1. STATEMENT OF COMMITMENT

"I _____ [NAME] have read and understood the: -

☐ **Child Protection policy**

☐ **Code-of-Conduct**

"I understand and agree with the principles contained within the Participatory Inquiry in Practice (PIP) 'child protection policy' and 'code-of-conduct'. I promise to abide by these codes and policies when engaging with any child or young person who is linked to Uganda Youth Development Link (UYDEL) or the Participatory Inquiry in Practice (PIP) Pilot.

I understand the confidentiality policies which mean that it is unacceptable to discuss or record activities (through photography, film, sound etc.) without prior consent.

I understand that failure to abide by the code-of-conduct or child protection policy may result in immediate termination of employment and/or legal action being taken".

Print Name:	
Signature:	
Date:	

2. Declaration of Criminal Convictions

Do you have a prosecution pending or have you ever been convicted, bound over or cautioned by the police or received a formal reprimand or final warning for any offences, including road traffic offences?	☐ **Yes** ☐ **No**
If yes - please provide details, including those prosecutions or convictions considered 'spent', and declare any previous investigations or allegations made against you. This information will be kept confidential to those who will assess whether they pose any risk or not in relation to child protection.	
"I_____declare that the information I have given is complete and true and understand that knowingly making a false statement may result in termination of any agreement held between myself and the employer."	
Print Name:	
Signature:	
Date:	

REFERENCE REQUEST

Applicant's Name	**Name:**
Post Applied For:	**Job Title:**

ABOUT THE REFEREE...

Name of referee:			
Referee's employing organisation:			
Referee's position in organisation:			
Referees relationship to applicant:		**Length of relationship:**	

ABOUT THE APPLICANT...

Dates of applicants employment or dates you have know applicant:	**From:**		**To:**	

If applicant was an employee	
position(s) held :	
No. days sick in last year of employment:	
Reason for leaving:	

Please give details of any disciplinary action during employment:

Please give your comments on the applicant's suitability as a research assistant with vulnerable adults, children and young people.
Any other relevant information you wish to provide:

This post involves access to children. As an organisation committed to the welfare of children, we need to know if you have any reason at all to be concerned about this applicant being in contact with children or young people:

☐ Yes ☐ No If 'yes' please provide details:

As part of our child protection practices, which aim to safeguard children, we will contact you for verification purposes. Please provide us with a telephone number:

TEL 1: .....

TEL 2 : .....

Name: .....

Signed: .....

Date: .....

Please affix employer's official stamp in space below:

STAFF INDUCTION – WK 1

- ☐ Introductions
- ☐ Admin
  - Reference request form (copies x 2)
  - Pre-employment form (copies x2)
  - Code-of-conduct (email)
  - Child protection policies (email)
  - Timesheets (email)
  - Contract (copies x2)
  - Session evaluations (email)
  - Diaries (books or video?)
  - TNA & Staff review (TBC)
  - Consent Forms (copies x 2)
- ☐ About PIP
  - Watch video
  - Action research
  - Participatory research
- ☐ Training need assessment

1. What do you want to get from your work?
2. What are your strengths?
3. What areas would you like to improve?
4. Where would you like more responsibility?
5. What is preventing you from developing as you would like?
6. Which interests or talents would you like to develop?
7. How do you like to learn?
8. What skills or experience would allow you to feel more confident at work?
9. Would you like additional reading etc beyond timeframe for work?

- ☐ Possible future training
  - What is accountability?
  - Translating and interpreting skills

- Research / participatory research
- Uganda structure, organisations, Govt, Law, Frameworks
- action research principles
- Ethics
- Rights – based approaches / Critical approaches
- Systemic approaches
- Practice-based approaches

☐ Session planning – week 1

- Aims – Group forming - What do you want to change?
- Roles delegation

APPENDIX H5: RESEARCH ASSISTANT CONTRACT

Participatory Inquiry in Practice [PIP]
Sessional Research Assistant

Contract of Employment

PRINCIPLE STATEMENT OF TERMS AND CONDITIONS

I am pleased to confirm your appointment as Sessional Research Assistant with Participatory Inquiry in Practice [PIP] - a PhD study lead by the researcher Adelaine Williams and hosted by the Non-Governmental Organisation Uganda Youth Development Link (UYDEL). This document outlines the Terms and Conditions which apply to your contract and other information which is relevant to your employment. Please note that a rights-based approach underpins every aspect of Participatory Inquiry in Practice, as such all employees are expected to work with respect to and in accordance with basic Human Rights principles and the convention on the Rights of a Child.

Parties involved: Adelaine Williams (Lead Researcher) and Research Assistants (RA) for the

Research Project: PhD: Participatory Inquiry in Practice: 2012 - 2013

1. The commencement date of this contract is _____

2. Your direct line manager will be Adelaine Williams – The Lead Researcher

3. This contract for sessional Research Assistant (RA) is given on a one month rolling contract for up to one year – payment is calculated per session worked.

4. You are obliged to give **one month's notice** to terminate your contract of employment. The Company is also obliged to give you one month's notice before terminating your contract.

5. As a sessional worker you are responsible for any payment of taxes as required. Adelaine Williams or Uganda Youth Development Link is not responsible for social security, income tax or any other obligations outside this Contract. As a sessional worker there is no entitlement to holiday pay or sick leave. **Payment is given per session worked only.**

6. This contract is for _____ **half-day sessions per week**. Each session will not be less than 4hrs but not more than 5hrs.

7. Session 1 – normally held at _____

   _____

   _____

8. Session 2 – normally held at _____

   _____

   _____

9. Session 3 – normally held at _____

   _____

   _____

10. Payment is paid per session at a rate of **20,000 UGX per half-day session**.

11. Work over 5hrs will be paid at a rate of 5,000 UGX per hour. Payment will be reduced at 5,000 UGX per hour for sessions less than 4hrs. Thus, allowances will reflect **actual hours** worked.

12. RAs will be required to complete an **evaluation form** following the completion of each session and a **timeshe**et at the end of each month.

13. Monies to be paid will be calculated according to timesheets, which must be signed by RAs and the Researcher Leader at the end of each session.

14. RAs should **submit their completed timesheets on the 25th of each month**. Payment will be made on **the 30th of each month** in cash.

15. Payment will **not be given until** - **timesheets** are correctly completed and an **evaluation sheet** has been adequately completed for each session worked.

16. Location of employment is regarded as **Kampala**
    (Normally this means - 1 session within Kawempe; 1 session within Makindye; 1 session within Makerere. However, exact locations of sessions may vary within Kampala).

17. This salary is intended to cover transportation to any location within Kampala. Therefore **no additional allowance**, transport allowance, lunch allowance or per diem will be given for any work undertaken within Kampala.

18. For **work outside of Kampala** 'cost only' will be paid. E.g. the Lead Researcher will pay providers directly for expenses such as transport, accommodation, lunch etc.

19. If the Lead Researcher makes an **overpayment** to you to which you are not entitled, or is more than that to which you are entitled, you agree to allow the Lead Researcher to recover the overpayment by deductions from your salary or other payments due to you. Any deductions will normally be made over the same period that the overpayment was made. It is in your interests to regularly check payments.

20. Prior to employment each RA has been asked to sign a commitment to the **code-of-conduct** and **child protection** policy. Employment is subject to adherence to both of these documents as stated at the time of employment or as amended by the Lead Researcher. Employees will be notified of any changes to either of these documents.

21. **Grievous breaches** of the code-of-conduct or child protection policy will lead to immediate dismissal. Any suspected cases of an employee abusing a child or young person will be reported to the authorities.

22. Subsequent to any **unconfirmed allegations** of breaches of the code-of-conduct or child protection policy, the employee will not be able to partake of any sessions until an investigation has been undertaken and the allegations dismissed.

23. The Company has a strict **anti-bribery** and corruption policy. In accordance with the code-of-conduct bribing (or attempt to bribe) another person, accepting a bribe or allowing another person to accept a bribe will be considered gross misconduct. In these circumstances you will be subject to formal investigation and disciplinary action. Breaches may lead to disciplinary action being taken, instant dismissal and/or legal action being taken.

24. In the course of your employment you may have access to **confidential material** both in paper and electronic form. On no account should this information be divulged to any unauthorised person. In accordance with the code-of-conduct RAs are not permitted to

discuss sessions with any individual outside of the work place; to take photographs or digital recordings without explicit permission from the Lead Researcher; or disclose personal information of any of the participants. Breaches of confidentiality may lead to disciplinary action being taken, instant dismissal and/or legal action being taken.

25. If you have a grievance in relation to your employment, then you should initially discuss any grievance with the Lead Researcher.

26. You are required to report any sickness absence as soon as is practicably possible to the Lead Researcher. In accordance with the code-of-conduct RAs should not work if they have a communicable disease which may jeopardise health of others.

If you are in agreement with the above terms and conditions, please sign each page of this document and statement below - retain one copy and return the other to me.

RESEARCH ASSISTANT (RA)

FORM OF ACCEPTANCE: I accept this appointment on the terms and conditions stated above.

Signed:

Name: _____

Position: _____

Date: _____

THE LEAD RESEARCHER

Signed:

Name: _____

SESSION PLAN

Date:		Date:	
Time:		Time:	
Location:		Location:	
Staff / visitors:		Staff / visitors:	
Session aim:			
Resources / Preparation:			
Forms Required:		Total Number of copies:	
Budget per session:		Total Budget:	
Ethics concerns:			

Activity 1:	
Facilitator:	
Timing:	
Resources:	
Data Capture Method:	

APPENDIX H7: PIP GROUP MEMBERS' CERTIFICATE OF COMPLETION

Participatory Inquiry in Practice

[PIP]

'Research, Learning and Action'

An initiative supported by De Montfort University, Centre for Social Action and Uganda Youth Development Link [UYDEL]

This

Certificate of Participation and Appreciation

is awarded to the

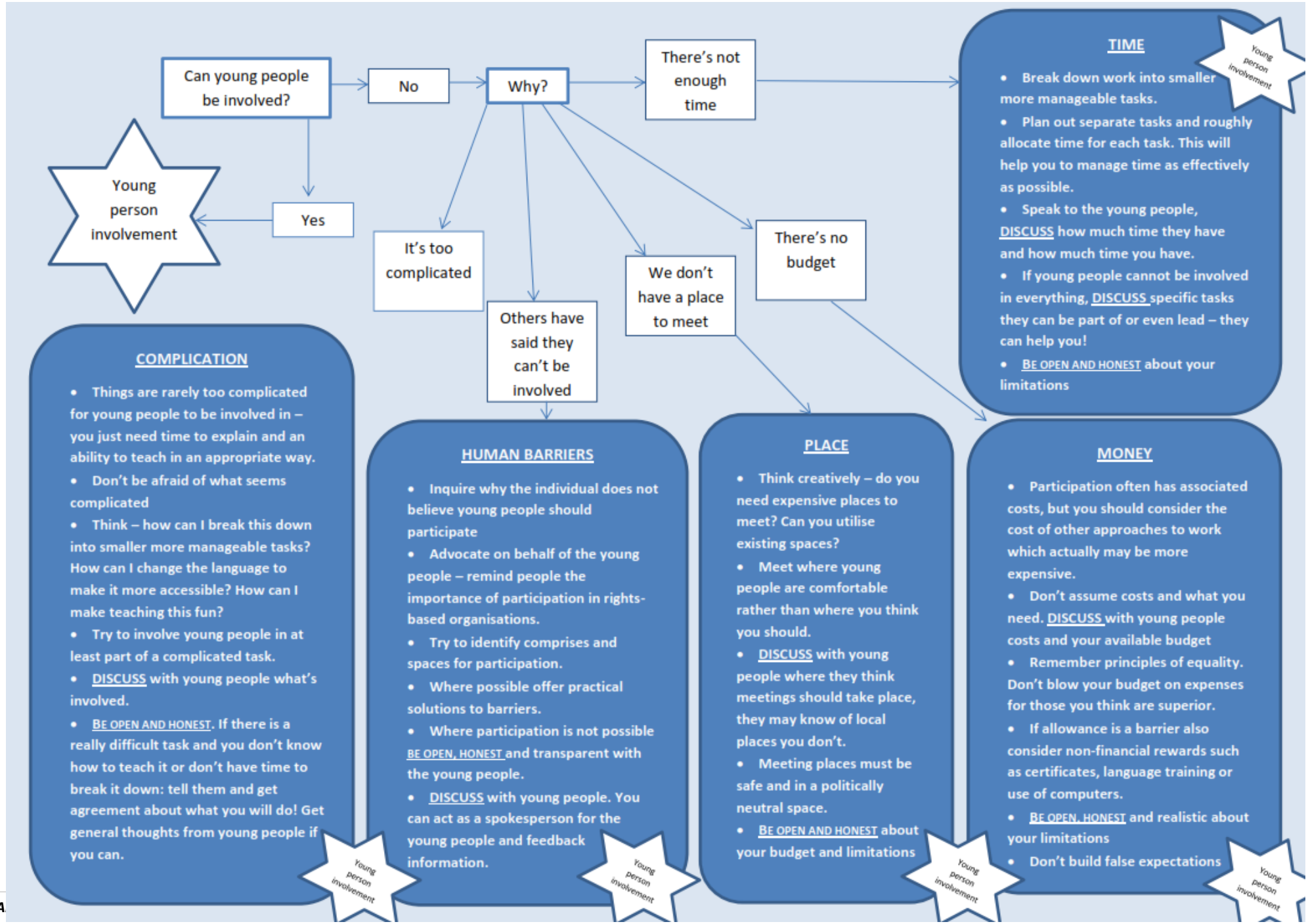
Youth Researcher

For consistently attending PIP training for a duration 12 months from

From: Jan 2012 *to* Dec 2012

Adelaine Williams
PIP Lead Researcher, De Montfort University

APPENDIX H8: PARTICIPATION GUIDANCE FOR FACILITATORS


Can young people be involved?
No
Why?
There's not enough time
Yes
Young person involvement
It's too complicated
Others have said they can't be involved
We don't have a place to meet
There's no budget
TIME
Young person involvement
• Break down work into smaller more manageable tasks.
• Plan out separate tasks and roughly allocate time for each task. This will help you to manage time as effectively as possible.
• Speak to the young people, DISCUSS how much time they have and how much time you have.
• If young people cannot be involved in everything, DISCUSS specific tasks they can be part of or even lead – they can help you!
• BE OPEN AND HONEST about your limitations
COMPLICATION
• Things are rarely too complicated for young people to be involved in – you just need time to explain and an ability to teach in an appropriate way.
• Don't be afraid of what seems complicated
• Think – how can I break this down into smaller more manageable tasks? How can I change the language to make it more accessible? How can I make teaching this fun?
• Try to involve young people in at least part of a complicated task.
• DISCUSS with young people what's involved.
• BE OPEN AND HONEST. If there is a really difficult task and you don't know how to teach it or don't have time to break it down: tell them and get agreement about what you will do! Get general thoughts from young people if you can.
Young person involvement
HUMAN BARRIERS
• Inquire why the individual does not believe young people should participate
• Advocate on behalf of the young people – remind people the importance of participation in rights-based organisations.
• Try to identify comprises and spaces for participation.
• Where possible offer practical solutions to barriers.
• Where participation is not possible BE OPEN, HONEST and transparent with the young people.
• DISCUSS with young people. You can act as a spokesperson for the young people and feedback information.
Young person involvement
PLACE
• Think creatively – do you need expensive places to meet? Can you utilise existing spaces?
• Meet where young people are comfortable rather than where you think you should.
• DISCUSS with young people where they think meetings should take place, they may know of local places you don't.
• Meeting places must be safe and in a politically neutral space.
• BE OPEN AND HONEST about your budget and limitations
Young person involvement
MONEY
• Participation often has associated costs, but you should consider the cost of other approaches to work which actually may be more expensive.
• Don't assume costs and what you need. DISCUSS with young people costs and your available budget
• Remember principles of equality. Don't blow your budget on expenses for those you think are superior.
• If allowance is a barrier also consider non-financial rewards such as certificates, language training or use of computers.
• BE OPEN, HONEST and realistic about your limitations
• Don't build false expectations
Young person involvement

APPENDIX I: THE GROUPS' WORK

[redacted] – Expectations from the group

- Make friends
- Try to solve community problems
- Work together
- Certificate from Leicester university
- Learn skills
- Widen understanding
- Know each other

[redacted] – Expectations from each other

- Be equal
- Be friendly
- Keep time
- Be faithful – no stealing, no rumours
- Be respectful
- Be helpful
- Be supportive
- Behave well
- Be disciplined

[redacted] Expectations from each other

- Be equal
- Be friendly
- Keep time
- Be faithful – no stealing, no rumours
- Be respectful
- Be helpful
- Be supportive
- Behave well
- Be disciplined

[redacted] **Expectations from Addy & Jennifer**

- Give good skills
- 5,000ugx every person per session
- Be friendly
- Treat as equal with respect
- Help with English
- Tell group if I have to cancel or be late
- Give attention

Expectations from the group -

- Teach her about Uganda
- Be interested
- Be on time
- No phones

Roles & Responsibilities – BWAISE

- Carol and Josephine – Finance / money
- Rhema – Register / admin
- Brendah – Time keeper
- Shakirah – Key holder

EVALUATION QUESTIONS – BWAISE

- Did you enjoy the session today?
- What have you learnt from the session?
- What have you gained?
- Were there any problems?
- What can we do better next week?
- Ideas for future sessions?

Bwaise - How we resolve disputes

- We will sit around a table and discuss
- Everyone can give view before deciding
- We know if someone is unhappy if they have a tough face, unhappy, absent minded and doesn't contribute.
- If someone is unhappy we will ask her what's wrong and involve her in games.
- We will have a different leader each week and take turns.
- We will respect the views of the leader.
- We will see how this plan goes and think about it again later.

APPENDIX I2: EXAMPLE PAGES FROM PIP KAWEMPE'S COLLABORATIVELY DEVELOPED SALON CONSTITUTION

PIP SALON CONSTITUTION

BASIC INFORMATION ABOUT GROUP	
Name of Group:	PIP KAWEMPE SALON
What we our group is doing:	OPENING A HAIR DRESSING SALON
Address:	
Date organisation formed:	JAN 2012
Start date of salon:	18th October 2012
Aim of group: (dream of group members)	
Objectives of the group: (Steps you are going to take to get to the dream)	a) _ b) _ c) _ d) _
Who is allowed to be in the group?	
Can new members join if so – how?	
Composition of management committee	Key holder 1 Key holder 2 Key holder 3 Day-to-day manager / money holder 1 Day-to-day manager / money holder 2 Overall manager / Chairperson

PIP SALON CONSTITUTION

Group meetings	- PIP group meetings will be held every Tuesday at 11am
When will you re-elect management?	- Every 6 months – e.g. at 6 months, 12 months, 18 months etc
How will you elect management?	- Election system that allows everyone's vote to be secret - Most votes for each position wins - If even re-vote until clear winner
PAYING BILLS RENT ETC	
Monthly contribution	- Every member must contribute 25,000 per month for rent, electricity, products, and new resources - When business is starting month 1 and month 2 contributions will only be 15,000. Month 3 it will go to the normal contribution of 25,000.
Extra	- **Bills will be paid first each month** - If there is any extra money the group can vote whether to spend or save money. - The members cannot claim their share of extra money until 6 months has passed - After every 6 months – e.g. 6 months, 12 months, 18 months etc. Members will decide as a group to take their share of extra money or buy new equipment as a group.
Minimum amount	- Until someone has reached their monthly contribution amount – 5,000 shillings from each customer will be given to the daily manager. - The money will be put in their own envelope and they will be given a receipt to prove they have paid that amount to the manager. Everyone should keep their receipts! (We may organise stamps and books instead) - After they have reached the monthly amount they can keep all the money they earn.

PIP SALON CONSTITUTION

What if someone does not manage to pay the monthly amount?	- Everyone shall be given **two?** chances - They can borrow money from the group if the group to pay their monthly contribution – if the group has it in their savings. - For every 5,000 they must pay back 6,000 to the group the next month. - If they do not pay the monthly contribution or take a loan from the group to pay it – they cannot work in the salon until they find the money. - If everyone in the group is struggling the group can vote to lower the amount for 1 month – it will go back to normal the next month. YOU MUST REMEMBER BILLS MUST BE PAID OR THE BUSINESS WILL FAIL
	- If someone fails to make 3 monthly contributions they will be expelled from the group
SAVINGS	
SAVINGS - HOW IT WORKS	- All money given for monthly contributions goes towards rent and bills - Once 130,000 is saved – money coming in each week will be equally divided into two types of saving (1) small items – which can be used for small things up to 20,000ugx that the salon needs e.g. shampoo (2) big items – we will save up this money to buy big items like a dryer. - Any money not spent on small items that week will be added to the big item saving fund – therefore no money is kept in small items saving – just decide if you need to spend money on some small items that week – if you don't add it to big item savings - Never spend more than 50% of your weekly income on small items - NO ONE CAN TAKE THEIR SHARE FROM BIG ITEM SAVINGS UNTIL THE BI-ANNUAL MEETING AFTER 6 MONTHS e.g. 6

PIP Salon

Member's Promise

I will be respecting each other

Being faithful

Working together as a group

Respecting each other's ideals

And

I will be paying monthly

contribution

Reference No: _____

Kawempe Survey

Basic questions

Male or Female:	**Male / Female**
How old are you?	_____
What area do you live in?	**Bwaise / Kyebando / Lugobaba**
Are you employed?	**Yes / No**
What is your job?	_____
What is your education level?	_____
What type of property do you live in?	**Homeless / rented mud brick house / rented flat / rented large house / mud brick house owner / flat owner / large house owner**
Where do you usually go for medical treatment?	**Abroad / private hospitals / local medical clinics / can't afford medical treatment**

1. Do you have respect in society
   a. Yes
   b. a lot
   c. Yes-a little
   d. No
2. Do you have a say in your community
   a. Yes – a little
   b. No – not at all
3. Are you allowed to apply for position in society
   a. Yes – always
   b. Yes – sometime
   c. No – never
4. I have equal opportunities like others
   a. Agree – strongly
   b. Agree – slightly
   c. Disagree – a little
   d. Disagree – a lot

5. (If an elder person) Are you respected as an elder person
    a. Yes – a lot
    b. Yes – a little
    c. No
6. Are you or your family members mistreated by the doctors or nurses in hospitals
    a. Yes – a little
    b. Yes – a lot
    c. No – not at all
7. Can you afford bills for private hospitals
    a. Yes – always
    b. Yes – sometimes
    c. No – Not at all
8. Are you treated last when you go to hospital?
    a. Yes – always
    b. Yes – it depends
    c. Yes – sometimes
    d. No – not at all
9. I receive the care I deserve in the hospitals
    a. Agree – strongly
    b. Agree – slightly
    c. Disagree – a little
    d. Disagree – totally
10. Are you or your family member helped by midwives without bribes?
    a. Yes - always
    b. Yes – sometimes
    c. No – never
11. Are you discriminated against in society?
    a. Yes - a lot
    b. Yes - a little
    c. No – not at all
12. (If you have children) All my children are at school
    a. Yes – all of them
    b. Yes – some of them
    c. No – none at all

13. (If you have a family) Can you afford to feed all your family?
    a. Yes – always
    b. It depends
    c. Sometimes
    d. Yes – a little
    e. No
14. What skills do you think can be provided to people in order to stop poverty?
    a. Hairdressing
    b. Mechanic
    c. Catering
    d. Tailoring
    e. Musician
    f. Other _____
15. Which organisations do you think people can mobilised so as for people to acquire skills?
    a. UYDEL
    b. Other _____
16. Do you think poverty can be prevented by sensitisation of people to do team work?
    a. Yes - a lot
    b. Yes – a little
    c. No – never
17. Loans are needed to solve poverty and unemployment
    a. Agree – a lot
    b. Agree – a little
    c. Disagree
18. Do you think education is important to solve poverty and unemployment?
    a. Yes – a lot
    b. Yes – a little
    c. No
19. What solution should be given to idlers to solve poverty and unemployment?
    a. Counsel them about drugs
    b. Provide them skills
    c. Give them capital
    d. Other _____
20. Do you think when poverty increases crimes increase
    a. Yes – a lot
    b. Yes – a little
    c. Not – not common
    d. No – not at all

21. Have you experienced crimes in your society?
    a. Yes – a lot
    b. Yes – a little
    c. No – never
22. Are you safe in your community?
    a. Yes – a lot
    b. Yes – a little
    c. No – not at all
23. Are you afraid of crimes in your community?
    a. Yes – a lot
    b. Yes – a little
    c. No – not at all
24. What idle resources are in your community to solve poverty and unemployment?
    a. Land
    b. Empty business houses
    c. Seeds
    d. Free time
    e. Other _____

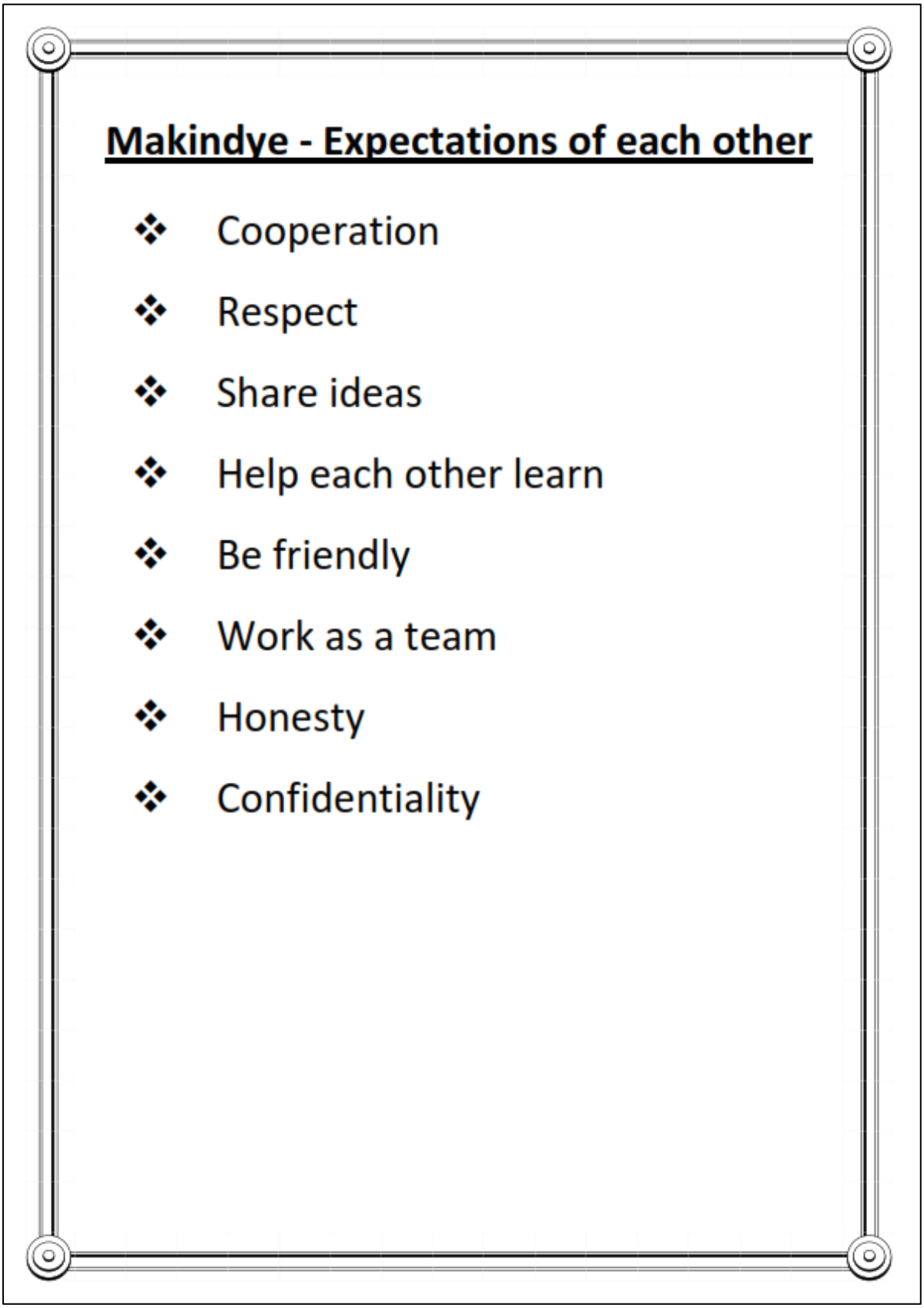
THANK YOU FOR YOUR TIME WE APPRECIATE YOUR HELP

If you have any concerns or problems please ask for Addy at UYDEL's outreach centre

INTRODUCTION

- Hello how are you doing? My name is _____
- I am from the PIP Kawempe group.
- We are a group of young people doing research on the subject of youth unemployment.
- Would you mind talking to me about this subject?
- The reason why we are doing this research is we want to reduce poverty and un-employment, we will do this by using our research to advocate and raise awareness.
- We must however be clear that we are not here to promise money or activities
- This research is being led by UYDEL and De Montfort University
- It should take about 10 minutes of your time
- You are free to take part or not to take part – it's your choice
- You can withdraw your information any time you like
- After we have done the research we will share it with UYDEL and De Montfort University
- We won't put your personal information on TV, in the newspaper or give it to anyone else
- We will use your information but keep your name and personal information confidential
- If you have any worries or concerns just contact Addy at the UYDEL office and she will help you.

APPENDIX I4: MAKINDYE'S GROUP WORK – PIP GROUP START-UP



Makindye - Expectations of the group

- Learn about research
- Make friends
- Learn how to approach others
- Learn how to be responsible
- Touch people's lives
- Learn problem solving
- Expect to see and solve problems
- Learn from others
- Learn how to organise
- To meet the other group
- To build confidence and boldness

Makindye - Expectations of [redacted]

- Be friendly
- Help solve problems
- Give guidance
- Share knowledge and skills
- Try to answer questions
- Encourage the group
- Be honest
- Communicate if being late or having to cancel
- Be professional and confidential
- Approachable
- Respectful
- Help with English

Makindye - Expectations from the group

- Be friendly
- Teach [redacted] about Uganda and group's community
- Be honest
- Be interested and willing to learn
- Teach some Luganda

GOALS OF PIP MAKINDYE GROUP

- Find solutions to the problems
- To be good researchers
- To remain united as a group
- Make research in other areas of makindye to find out their problems

APPENDIX I5: MAKINDYE PROBLEMS SURVEY – RESEARCH TOOL INTRODUCTION WRITTEN BY PIP GROUP MEMBERS

Respondent number _____

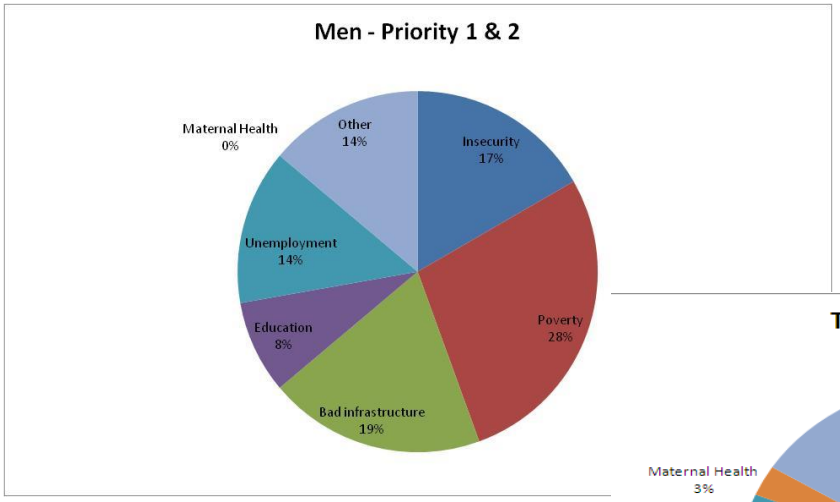
☐	Male [Older than 18]	☐	Adult Female [Older than 18]
☐	Male [Younger than 18]	☐	Adult Female [Younger than 18]

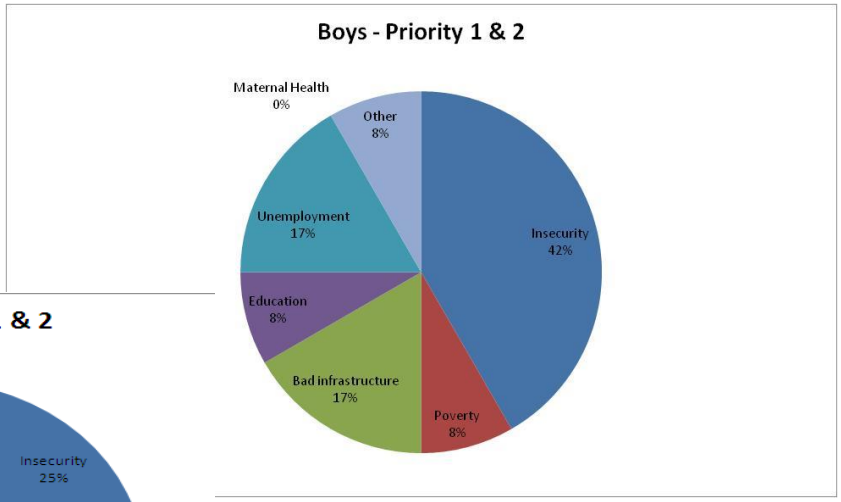
Area _____

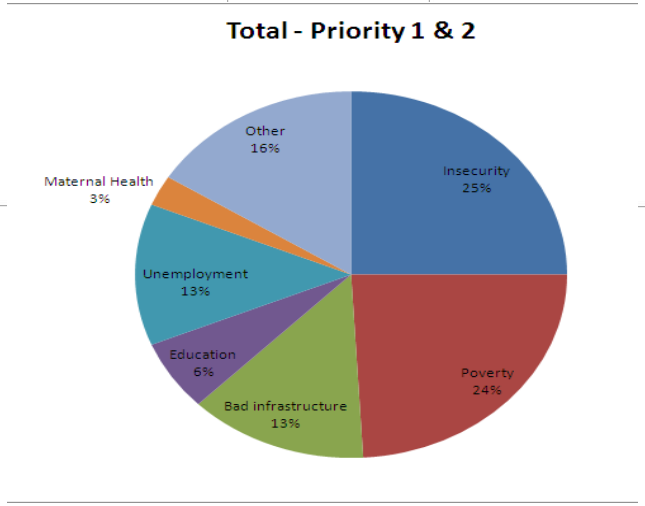
Greetings – I am requesting for a little of your time to answer some questions. I am called _____ and I am from PIP. This is a study/project which is done in partnership with the NGO UYDEL – here is my ID card. We are doing research about the problems affecting Makindye. I **cannot promise** any funds or activities, but we will use your information to raise awareness about problems and we will try our best to erase or find solutions.

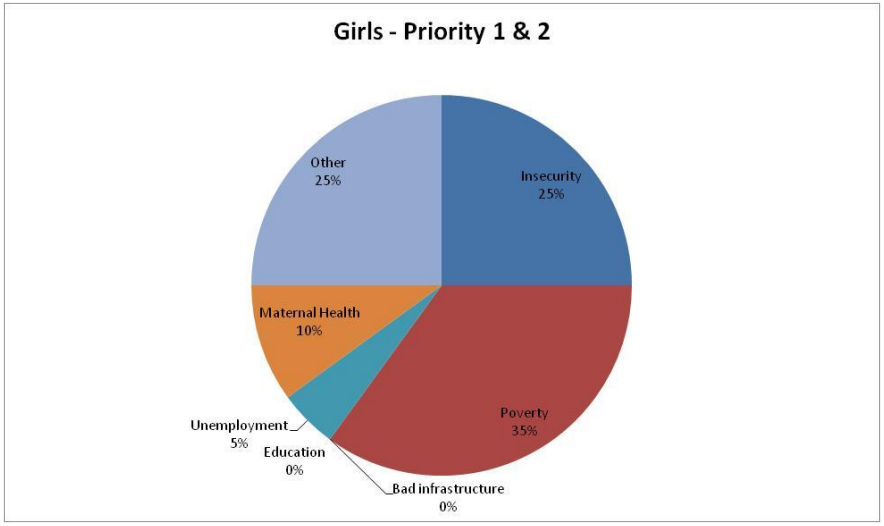
I promise to keep the information you give me confidential and there is no politics involved. I assure that the research is voluntary and you are free to accept or opt out. I promise to be honest and the information you give me will be put down after your consent. Thank you

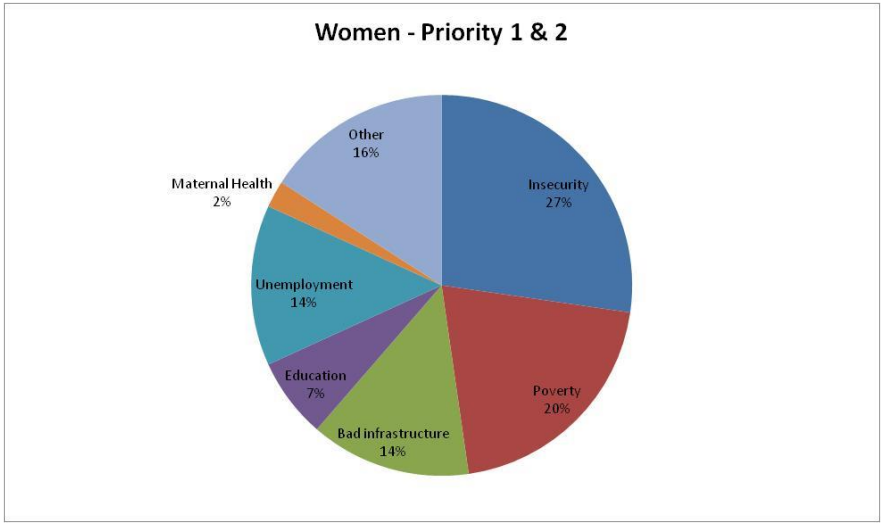
APPENDIX I6: MAKINDYE PROBLEM SURVEY - STATISTICAL ANALYSIS





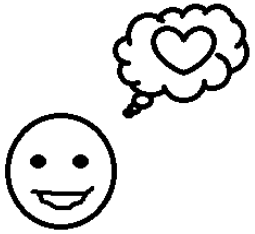
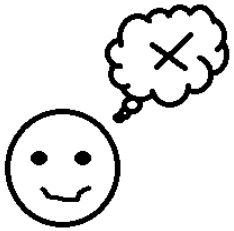
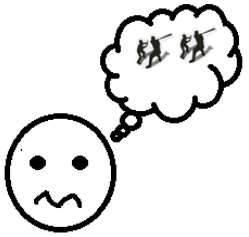
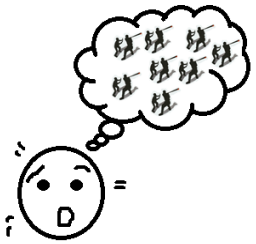


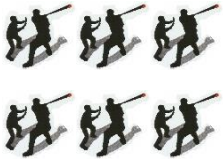
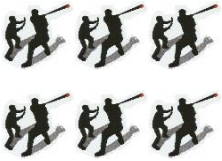
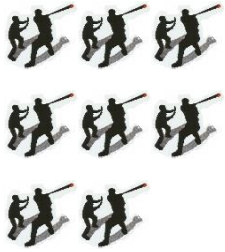
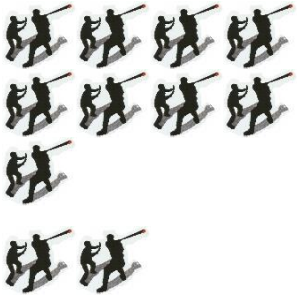

Girls - Priority 1 & 2
Other
25%
Insecurity
25%
Maternal Health
10%
Unemployment
5%
Education
0%
Poverty
35%
Bad infrastructure
0%


Women - Priority 1 & 2
Other
16%
Maternal Health
2%
Insecurity
27%
Unemployment
14%
Education
7%
Poverty
20%
Bad infrastructure
14%

APPENDIX I7: EXAMPLE PAGES FROM THE MAKINDYE CRIME SURVEY

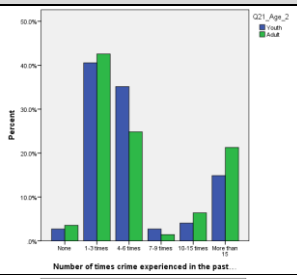
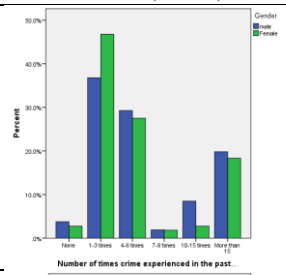
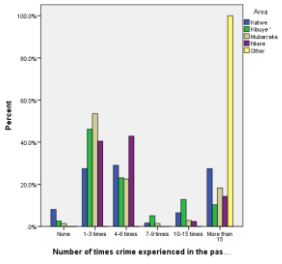
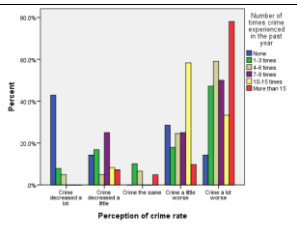
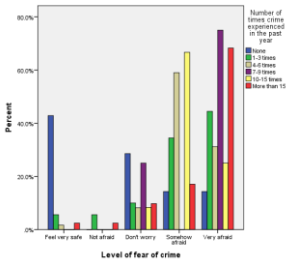
1. What type of crime do you think happens most common in your community? [please list 1 – 3; 1 is most]	☐ Robbery from homes	☐ Murder	☐ Rape / defilement
	☐ Tricksters (phone cons, witchcraft cons)	☐ Theft on street - VIOLENT (metal bars, attacks, pick pockets)	☐ Theft on street - NOT VIOLENT(e.g. pick pockets)
	☐ Prostitution	☐ Corruption	☐ Domestic abuse
	☐ Kidnapping	☐ Other [Please state]	
2. What type of crime do you think happens WORST? [please list 1 – 3; 1 is most]	☐ Robbery from homes	☐ Murder	☐ Rape / defilement
	☐ Tricksters (phone cons, witchcraft cons)	☐ Theft on street - VIOLENT (metal bars, attacks, pick pockets)	☐ Theft on street - NOT VIOLENT(e.g. pick pockets)
	☐ Prostitution	☐ Corruption	☐ Domestic abuse

3. How afraid are you of crime in your community? [READ!!!]				
				
1. I feel very safe – never really think about crime	2. Not afraid – don't really think about it	3. I don't really worry - but I think about it a little & try to keep safe	4. I am somehow worried – I think about my and my family's safety quite often	5. Very very afraid – I worry very often, very scared

4. Do you think crime has increased or decreased over the past year? [READ!!!]					
Before					
Now					
	1. No – it's much better. There's a lot less crime	2. No - its slightly better. There's a little less	3. it's the same as before	4. Yes – it is slightly worse. There is a little more	5. Yes - it is a lot worse. There is a lot more crime

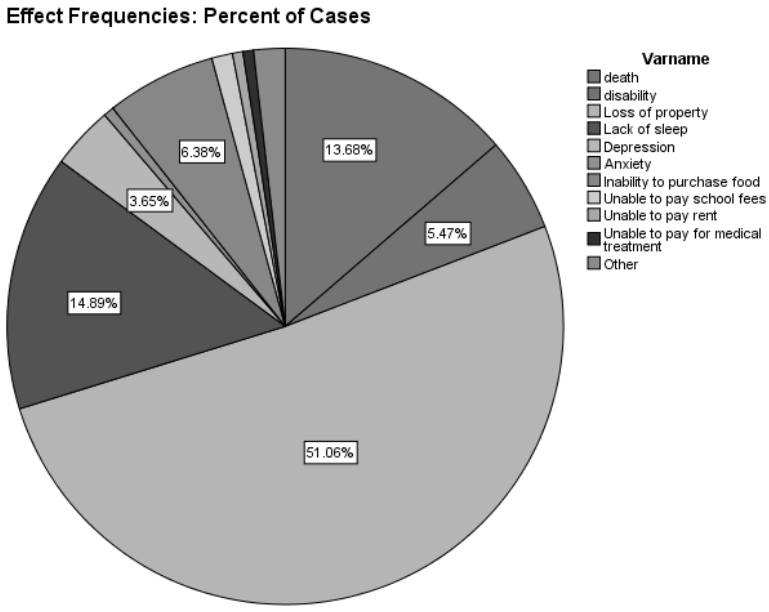
APPENDIX I8: MAKINDYE CRIME SURVEY - STATISTICAL ANALYSIS

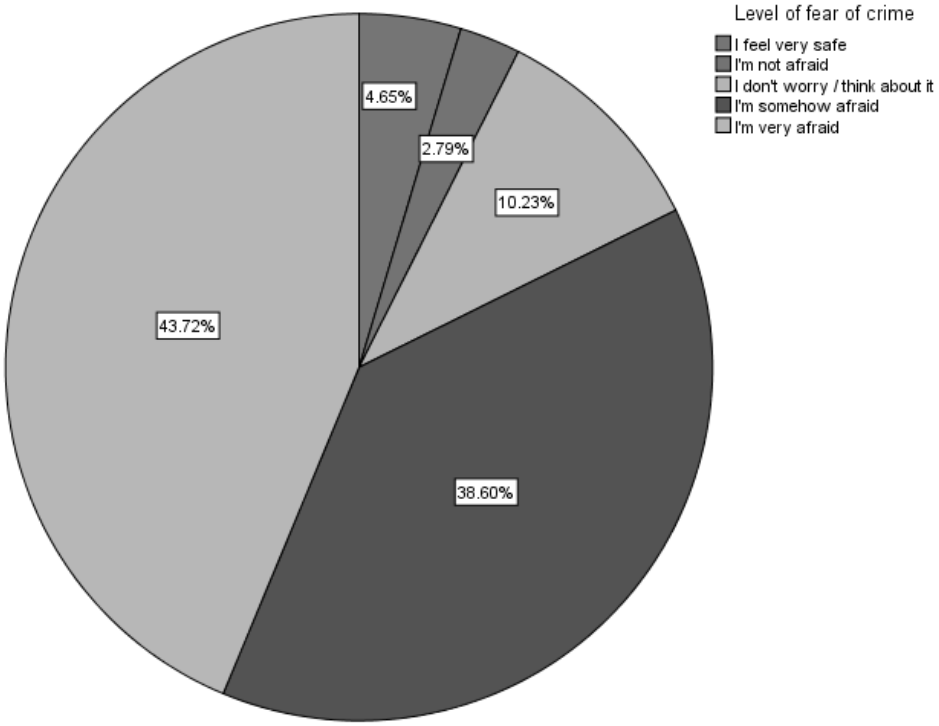
Summary of tests used

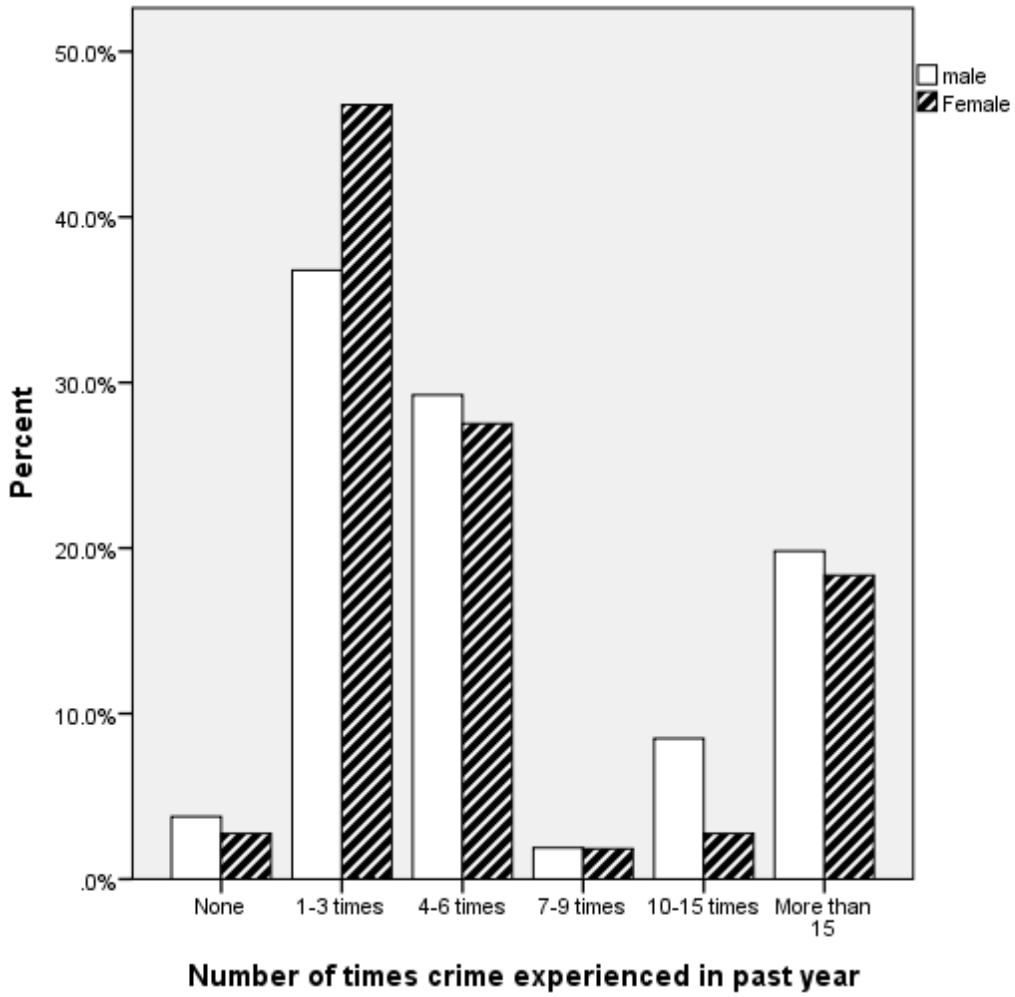
Description of variables	Test	Results
Q1) Is there a difference in employment rate between men and women?		
• Gender • Employment	Chi-squared	
Q) what affects number of times crime experienced?		
• Number of times crime experienced • Gender		
• Number of times crime experienced • Age		
• Number of times crime experienced • Area		
• Number of times crime experienced • Perception of increase		
• Number of times crime experienced • Fear of crime		

Variables	Test	Findings / Calculations	Significant results
Gender and mean satisfaction	independent samples t-test	• Levene's Test for Equality of Variances Sig value *(p)* = 0.261 • *p* = 0.261(greater than 0.05 therefore not significant) • t=0.199 • N1= 48 • N2 = 47 • Eta squared = t_2 / t_2 (N1+N2-2) = 0.039601/0.039601(48+47-2) =0.039601/(0.039601 x 93) = 0.039601 /3.682893 = 0.011 • Eta squared = Greater than 0.01 but less than 0.06 therefore regarded as having even a small effect	**No** (Eta squared value indicates a small effect but this is not statistically significant)
Age and mean satisfaction	Pearson's Correlation	• *r* value less than 0.1= no significant correlation • sig value *(p)* greater than 0.05 = not statistically significant • n=95	**No**
Years sick and mean satisfaction	Pearson's Correlation	• *r* value less than 0.1= no significant correlation • sig value *(p)* greater than 0.05 = not statistically significant • n=95	**No**
Marital status and mean satisfaction	One-way between groups ANOVA	• Levene's Test for Equality of Variances Sig value *(p)* = 0.547 • *p* = 0.770(greater than 0.05 therefore not significant) • Sum between-groups = 0.055 • Total sum of squares = 9.672 • Eta squared = Sum between-groups / Total sum of squares =0.055 /9.672 = 0.00568 • Eta squared = Greater than 0.01 but less than 0.06 therefore regarded as having even a small effect	**No** (Eta squared value indicates a small effect but this is not statistically significant)
Children and mean satisfaction	independent samples t-test	• Levene's Test for Equality of Variances Sig value *(p)* = 0.144 • *p* = 0.229(greater than 0.05 therefore not significant) • t=1.211	**No** (Eta squared value indicates a small effect

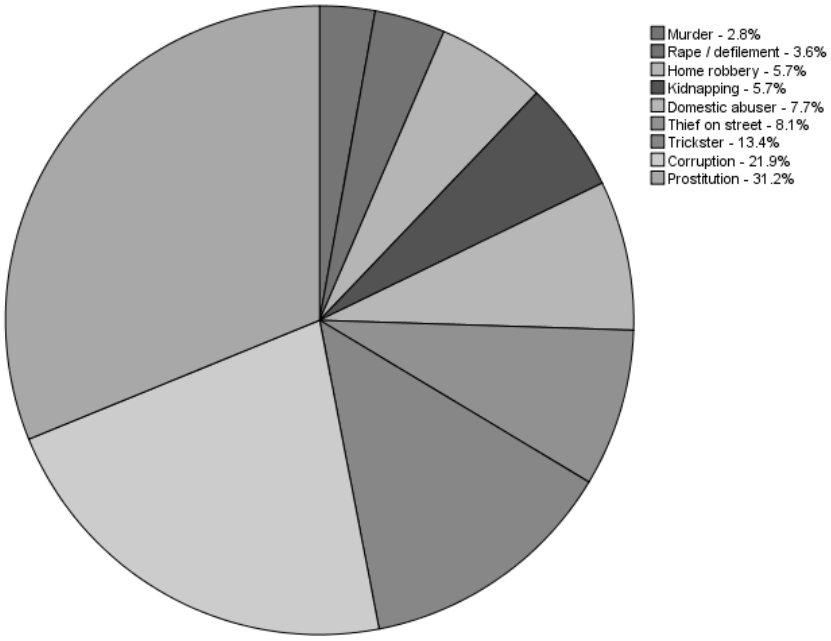
		• N1= 17 • N2 = 78 • Eta squared = t_2 / t_2 (N1+N2-2) = 1.466521/ 1.466521 (78+17-2) = 1.466521/(1.466521x93) = 1.466521/ 136.386453= 0.011 • Eta squared = Greater than but less than 0.06 therefore regarded as having even a small effect.	but this is not statistically significant)
Level of education and mean satisfaction	Pearson's Correlation	• *r* = 0.155 • positive *r* value greater than 0.1 but less than 0.29 = small significant positive correlation • less than 0.1= no significant correlation • sig value *(p)* greater than 0.05 = not statistically significant • n=95	**No** (small positive correlation but is not statistically significant)

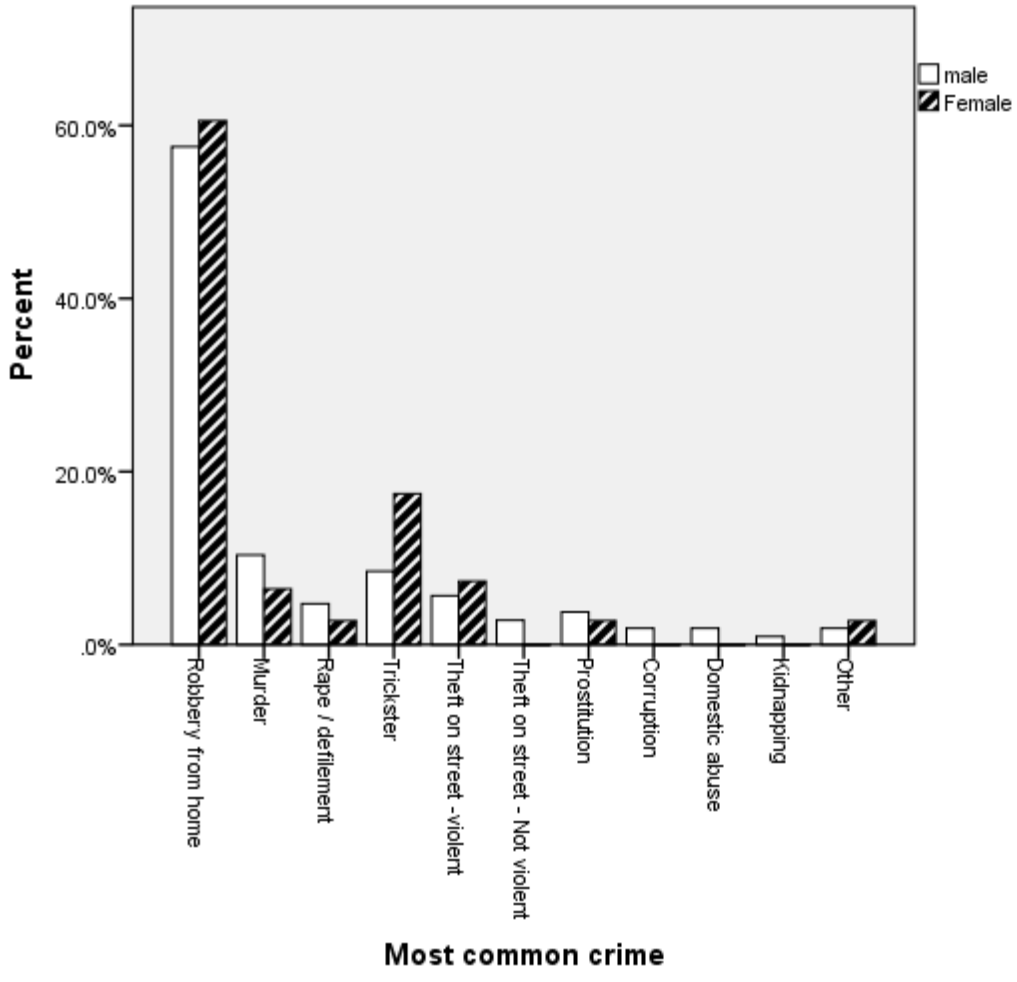



Level of fear of crime
I feel very safe
I'm not afraid
I don't worry / think about it
I'm somehow afraid
I'm very afraid
4.65%
2.79%
10.23%
43.72%
38.60%


50.0%
40.0%
30.0%
20.0%
10.0%
.0%
Percent
male
Female
None
1-3 times
4-6 times
7-9 times
10-15 times
More than 15
Number of times crime experienced in past year

Percentages for different crimes: Those that would do nothing





	How to prevent people committing crime	How to prevent people becoming victims
The individual	Avoid bad groups Avoid the use of drugs Appreciate what you have God fearing Find a job	Protect and secure your property Avoid being indecent Avoid getting drunk Avoid using drugs
Family and friends	Good moral upbringing of children Good advice Good education Punishing children Teach children to be god fearing Provide their basic needs	Tell them to avoid bad peer groups Tell them not to walk at night Tell them to avoid drug abuse
Community	Should advise people Counselling and guidance	Advise about safety – not to walk at night Advise them not to use drugs
Organisations	Creating jobs Teaching Counselling & guidance Developing skills	Train people kickboxing in order to protect themselves
Police & Government	Set strict laws Punish criminals Giving development funds to youth Teaching people Banning the use of drugs Supporting activities for youth & sports	Training for self defence The government should stop dangerous places Protect people and properties Housing dogs in order to protect our homes
International Community	Punish law breakers (International Criminal Court) Donate funds for the people to start something Teaching Support job creation	Provide security Teaching how to defend themselves Sensitising them about dangers

Makindye Early findings - from a 200 person survey

- **97% of people interviewed have experienced crime in the past year.**
- **73% have their house broken into in the past year**
- **59% have experienced violent crime in the past year**
- **Over 19% have experienced crime more than 15 times in one year**
- **38% of people did nothing in response to crime.**
- **Only 36% made a report to the police.**
- **82% of all people interviewed were 'somehow afraid' or 'very afraid'.**
- **The biggest category was very afraid with a response of 44%.**
- **75% of people believed that crime had increased.**
- **54% of people believed that crime has got a lot worse in the past 1 year.**

Makindye Early findings - from a 200 person survey

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- 73% have their house broken into in the past year
- 59% have experienced violent crime in the past year
- Over 19% have experienced crime more than 15 times in one year
- 38% of people did nothing in response to crime.
- Only 36% made a report to the police.
- 82% of all people interviewed were 'somehow afraid' or 'very afraid'.
- The biggest category was very afraid with a response of 44%.
- 75% of people believed that crime had increased.
- 54% of people believed that crime has got a lot worse in the past 1 year.

APPENDIX I10: THE MAKINDYE CRIME REPORT

PARTICIPATORY INQUIRY IN PRACTICE [PIP]

MAKINDYE PIP GROUP - CRIME SURVEY

INTRODUCTION

This document informs readers of a youth-led survey undertaken in Makindye, Kampala. Whilst supervised and supported by Participatory Inquiry in Practice [PIP] facilitators, young people led the design, completion and analysis of the survey. PIP group members are aged between 16 and 24 years old, they come from the local slum areas of Makindye.

It is through their hard work and commitment that we are able to produce these findings. This document is written collaboratively, utilising youth friendly language and terminology.

Context

Like many African cities Kampala's city population is growing rapidly. As the city grows bigger so do the challenges it faces. Uganda has a very young population; many youths move to the city independently with the hope of finding opportunities and employment. Instead of employment many find themselves unemployed and living in slum areas.

Problems faced by those living in slum areas can be hard to find out about. Slum dwellings are often unregistered, people move frequently and often communities may not want to take part in research conducted by outsiders.

The voices of individuals in slum areas are not heard - their problems remain hidden.

PIP

In 2012 a group of 10 young women from the slum areas of Makindye joined a Participatory Inquiry in Practice [PIP] group. In the PIP group they were able to explore issues that were important to them.

PIP is a methodology designed by researcher Adelaine Williams to enhance NGO accountability. The piloting of PIP in 2012 was supported by De Montfort University, the Economic Social Research Council and Uganda Youth Development Link.

Activities

Members of the PIP group spoke to their community. They realised that the primary concern of the community was not education, healthcare or employment – it was crime and insecurity. People in their community were afraid.

After choosing their subject, members of the PIP group explored and discussed the issue themselves. They undertook training in research methods, designed a community survey and consulted with the police and local leaders. The PIP group then went out into the community and conducted a survey with over 200 people.

Their findings show that people in slum areas are exposed to an extreme level of crime and violence. They are largely afraid in their own homes. The basic human right, to live in safe and secure environment is not being fulfilled.

The PIP group members now wish to highlight this problem and to work together with the police, local leaders and NGOs to try and make their community safer.

METHODOLOGY

The PIP group members decided on key questions that they wanted to ask the community.

They developed a survey asking about experience of crime, feelings regarding fear of crime, what they believed caused crime, when crime happens most, response to crime and how to prevent crime. The survey uses multiple response and Likert scale questions. It was piloted prior to implementation to ensure common understanding and appropriateness.

Sample

The PIP group members decided to do cluster sampling as there was no data available on the general population. PIP group members visited 4 areas: Mubaraka, Nkere, Kibuye and Katwe.
A total of 215 people were interviewed (n=215): 106 males, 109 females. 34% were under the age of 18.

Ethics

This research was approved by De Montfort University's ethics board and by Uganda National Council for Science and Technology [UNCST]. Young people were trained in ethics and supervised at all times whilst conducting the survey.

One young person was nominated to be an ethics officer for the group.

Uganda Youth Development Link also advised upon and monitored ethics of the survey.

Each respondent gave informed consent and remains anonymous within the analysis.

Recommendations

Police	• *Conduct outreach and sensitisation in slum areas:* *To discuss local problems; how to stay safe; the law; human rights; possible consequences of crime*	• *Work together with young people to reduce crime: Meet with the PIP Makindye group to discuss crime and actions that can be taken to create a safer environment.*
Local Govt.	• *Teach the community in slum areas about safety and security* • *Teach young people about the dangers of drugs & alcohol*	• *Consult and involve slum communities and young people in city planning.* • *Work together with young people to reduce crime: Meet with the PIP Makindye group to discuss crime and actions that can be taken to create a safer environment.*
NGOs	• *Support training and employment activities in slum areas* • *Teach the community in slum areas about safety and security* • *Teach young people about the dangers of drugs & alcohol*	• *Offer support young people who have committed crime:* *Ensure their rights are protected and so that they can positively engage in the community again.*
Young People	• *Engage in training and employment opportunities* • *Stay away from drug and alcohol use* • *Avoid bad peer groups*	• *Work together with police, government and your community to make slums safer* • *Learn how to be safe*
Media	• *Highlight the serious problem of crime in slum areas.* • *Give young people the opportunity to speak about their concerns and ideas for solutions.*	• *Help teach young people: about how drug and alcohol use can lead to becoming a victim or perpetrator of crime; and about how people can stay safe.* • *Balance reporting to show that youth are not always the cause of crime – they can be the solution.*

Conclusion:

Very little research exists about crime in Kampala's slum areas. As highlighted in the survey, many crimes are not reported to the police, so the true level of crime is hard to measure. Unlike outside researchers PIP group members were able to conduct this research because of their local community knowledge and relationships.

PIP group members believe that their research highlights a serious and escalating problem in their community; they ask that their and their community's voices are heard. It is a basic human right to live in safety without fear and violence.

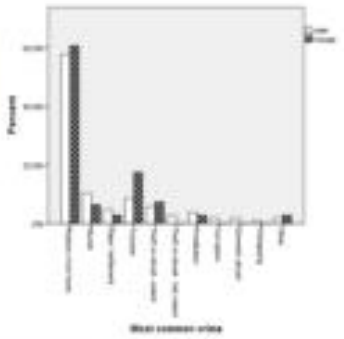
'It is a basic human right to live in safety without fear and violence'

The survey also showed us that there are serious consequences for those who commit crime. For some crimes the chances of being punished by mob justice is high; criminals are also unlikely to be accepted back in the community. PIP group members believe that young people should be taught about the law, their rights and the possible consequences of committing crime. **Even small crimes can have big consequences for both the victim and perpetrator.**

10 Key Findings

1. **Crime in slum areas is alarmingly high**
   - 97% of people interviewed have experienced crime in the past year
   - 59% have experienced violent crime in the past year
   - 19% report experiencing crime more than 15 times in the past year
   - Respondents believe that 'murder' is the 'worst crime' followed by 'robbery from the home' then 'rape / defilement'

2. **People's homes are vulnerable**
   - 73% have had their house broken into in the past year
   - 11% report that they have had their house broken into more than 10 times
   - Robbery from the home is the most common crime in Makindye This was followed by crime by 'tricksters' and 'murder'



3. **People believe crime is increasing**
   - 55% believe that crime had become 'a lot worse' in the past year
   - 76% of individuals believed that crime had increased in the past year
   - 44% of individuals report that they are very afraid of crime in their community

4. **People believe that crime happens most often late at night and during festive season**
   - 90% believe that crime is much more common in the month of December
   - 86% believe that crime happens most late at night

5. **Crime has a follow-on effect on health and wellbeing**
   - 21% of people interviewed stated that a friend or relative had been killed as a result of crime
   - 23% report a loss of sleep caused by fear of crime
   - 10% report inability to buy an adequate amount of food following crime

6. **People respond to different crimes in different ways**
   - Prostitution and corruption were least likely to be reported to anyone
   - Robbery from the home was most likely to incur mob justice
   - Rape defilement and domestic violence was most likely to be reported to local leaders
   - Kidnapping is most likely to be reported to police

7. **How people think they should respond to crime and how people really respond to crime is different**
   - 56% of people believed that they would respond to crime by reporting to police
   - In reality only 37% said they actually reported crime to the police

8. **The community are unlikely to help forgive or accept known offenders**
   - Only 19% said that they would help, accept or forgive a known offender after they return to the community
   - People previously punished for 'prostitution' and corruption are most likely to be helped, accepted or forgiven
   - People who committed kidnapping are least likely to be helped, accepted or forgiven
   - 62% of people believe that counselling could help people avoid re-offending

9. **The community believes drug users and young people are most likely to commit crime**
   - Respondents most commonly believed that 'drug users' and 'young people' were most likely to commit crime
   - Unemployment was said to be the main reason for committing crime, followed by poverty then drug / alcohol use

10. **The community believes dogs and shared guards can help prevent crime**
    - People believed that buying a dog actually stopped crime
    - A shared guard made people feel the safest
    - People having their own guard was thought to have the smallest effect on preventing crime

"We believe young people can be the solution to crime not the cause of crime"

The survey showed that many people think that young people are often the cause of crime. PIP group members want to change this view. Instead of being seen as the cause of crime, PIP group members hope to mobilise young people to avoid committing crime and to find solutions for the crime problem in their community.

PIP group members realise that to reduce crime and improve the safety of the community there are many challenges to overcome. We need to support employment and training for young people; we should teach about the dangers of drugs and alcohol and how this is linked to crime; we should teach people about self-defence, safety and protecting their homes.

"We want to work together with the community, police, local government and NGOs to make our community safer"

PIP group members hope that, now there is research to highlight this problem, there will be increased motivation to take action. PIP group members would like to work together with the community, police, local government and NGOs to try and make their community safer. **Crime prevention is everyone's responsibility.**

3 Key messages

1. *Young people can be the solution to crime not the cause*
2. *Crime prevention is everyone's responsibility*
3. *Even small crimes can have big consequences (for both the victim and perpetrator).*

For more information:

For more information on the Makindye crime survey or the work of UYDEL please contact:

Uganda Youth Development Link [UYDEL]

BIFRO House, Sir Apollo Kaggwa Rd
Opposite Makerere Business Institute (MBI)

E-Mail: uydel@uydel.org
Web: www.uydel.org

For more information on the PIP methodology please contact:

Adelaine Williams

Researcher / PhD Candidate
De Montfort University, England

E-mail: Adelaine.williams@gmail.com

Author: Adelaine Williams & the PIP Makindye Group [Betty, Bridgett, Evelyn, Goretti, Grace, Immaculate, Jaliat, Jessica, Josephine, Monica]

Published by: Uganda Youth Development Link: Kampala (2015)

PIP methodology designed by: Adelaine Williams (2013)

PIP Facilitators: Adelaine Williams and Juliana Kemigisha

PIP Youth-led research is supported by: Uganda Youth Development Link and De Montfort University

Funded by: The Economic Social Research Council [ESRC]

APPENDIX I11: PIP GROUP MEMBERS' COLLABORATIVELY DEVELOPED AGENDA FOR THE MASOOLI WORKSHOP

AGENDA - MORNING

ITEM	WHO	MINUTES	TIME
prayers	[redacted]	5mins	10.30 – 10.35
Introduction		10mins	10.35 – 10.45
Accountability		10mins	10.45 – 10.55
Leadership		15mins	10.55 – 11.10
Game		15mins	11.10 – 11.25
How to select a subject		5mins	11.25 – 11.30
Youth unemployment – presentation		30mins	11.30 -12.00
Youth unemployment – Poem			
Youth unemployment – song			
Youth unemployment – skit			
Advantages of PIP		10mins	12.00 – 12.10
Game		10mins	12.10 – 12.20
Lessons learnt		10mins	12.20 – 12.30
LUNCH: 12.30 – 1.30			

Agenda – afternoon

ITEMS	WHO	MINUTES	TIME
Introduction & training	[redacted]	10mins	1.30 – 1.40
Leadership		10mins	1.40 – 1.50
Guidance about research		10mins	1.50 – 2.00
Research in the field		15mins	2.00 – 2.15
Challenges		10mins	2.20 – 2.30
Skills we have learnt – skit		10mins	2.30-2.40
Successes – drawing exercise		10mins	2.40-2.50
PIP challenges – skit exercise and discussion		10mins	2.50 – 3.00
Game		10mins	3.00 – 3.05
Dance		10mins	3.05 – 3.15
Goals		30mins	3.15 – 3.45
Goodbyes		10 mins	3.45 – 3.55

APPENDIX I12: PIP GROUP MEMBER'S FEEDBACK ON UYDEL'S STRATEGIC PLAN

FROM YOUNG PEOPLE

- Logical Framework - Key result 4:

Outcomes - should include something around urban crime and trafficking

[Note: In Makindye area a recent survey highlighted that crime was seen as the community's primary concern above health care education etc. Perhaps this combined with UYDEL's expertise in trafficking should be considered one of the 4 key programme areas or as potential new projects].

Outcomes should include something about unemployment

New projects might include parental counselling and guidance for young mums

- Young people should be involved in advocacy campaigns

[Note: may be a place for peer education / young advocates – mentioned in advocacy section but not log frame].

- UYDEL should extend services to other areas

- Time should be given to help young people develop their skills

[Gradual skills develop after training young people should have time to practice]

FROM ADDY

SECTION 5.0.

- Mission maybe too narrow and may limit funding - perhaps add advocacy here as it seems to play a large part in what UYDEL does now and what is highlighted in the strategic plan for the future.

"To enhance socio-economic transformation of disadvantaged young people through advocacy and skills development for self-reliance"

- Core values – states that UYDEL will be guided by a 'Human rights-based approach'. If it is a core value this should be a part of the institutional capacity development highlighted in the log-frame.

SECTION 12.0.

- Organisations adopting a rights-based approach usually incorporate this into their M&E systems thus a quick mention in the M&E section may be warranted.

- Maybe M&E section is a bit light on beneficiary involvement / feedback from beneficiaries. Participatory monitoring and evaluation techniques and/or the PIP groups could be perhaps utilised here?

APPENDIX I13: PIP GROUP MEMBERS' NEWSLETTER

PIP NEWS

August 2012 Volume 1, Issue 1

Introducing PIP!

PIP Groups are supported by Uganda Youth Development Link (UYDEL) and De Montfort University.

UYDEL

DE MONTFORT UNIVERSITY

"Hello and welcome to the first issue of the PIP newsletter. First of all I would like to introduce myself as lead researcher of the PIP project , my name is Adebisi Williams, but I am better known as Addy. I have had the privilege of working with the **PIP teams** and **Uganda Youth Development Link (UYDEL)** since January 2012. The group of young women I work with have taught me a great deal about many things such as ...how to do research with young people like them; about their community and about the reality of their lives. In turn I have taught them about accountability, team work and research.

A couple of years ago I had an idea that organisations like UYDEL might become more accountable and responsible if they worked with more efficiently with young people. Because of this idea, I am now studying with **De Montfort University**, England to explore how organisations like UYDEL can best work with young people. Creating the PIP group is helping me to see some ideas and theories on how this can be done. I will be supporting the PIP groups until November 2012 – but it is up to UYDEL and the young people of Kawempe and Makindye what will happen to the PIP group after this time.

PIP stands for **Participatory Inquiry in Practice**. The PIP groups are to help UYDEL to **participate** with young people in every aspect of their work. I have taught the PIP group how to do research, so now they have the skills they need to **inquire** about problems their community may face. At the moment we are just testing to see if PIP is a successful and useful, but we hope that PIP will be used in UYDEL's day-to-day **Practice**. It's our intent to be just three more and forgotten about, it's meant to be an on-going thing!

I am proud to announce that both groups have successfully undertaken local surveys. The **PIP Makindye** have recently undertaken a survey of nearly 60 local community members. This research clearly showed that **poverty & insecurity** is the main concern in their community. The Makindye group intend to investigate the link between poverty and insecurity , looking for causes of local crime and measures/ potential solutions and associated problems.

PIP Kawempe has been focusing on the subject of **youth unemployment.** Their survey will explore this subject in greater depth. To date the PIP Kawempe group has completed an amazing 150 surveys! We are excited to find out the results which should be ready within the next 2 months.

We welcome all interested parties to take part in this research and to share their views. Please contact the PIP team if you would like to take part.

The PIP group members were also pleased to represent the **"voice of young people"** in the area. If you are a young person in the local area and would like to communicate to UYDEL or any other external organisation about an issue or problem that affects you, please contact the PIP team and we will try to help.

Below are some stories written by the PIP group members which reflect some of their thoughts and experiences over the past 6 months. I hope you enjoy them!"

Kind Regards *Addy*

Inside this issue:

Successful PIP Makindye

By the PIP Makindye team

To start with there was no PIP team. The researcher (Addy) met with a big group of around 30 young ladies to talk to them about accountability. Then there was an election to select 10 young ladies. PIP member Immy said 'I felt good when I was selected for the group'. When we first started "we were scared and a little bit shy" said PIP member Becky. PIP team leader Josephine said "we first introduced each other, each one can know ourselves better. Then everyone got to know what they were supposed to do to make a good team'. PIP member Janice said 'we learnt many things about leadership and also team building'. 'Qualities of a good leader and bad leader were a useful thing to learn, so now we can be a good leader' said PIP member Bridget. 'Since PIP I have been able to learn English that I wouldn't ever speak' said PIP member Juliet.

'PIP's goals are to find solutions to the problems affecting our area' said PIP member Gerrish. 'We succeeded to working as a team and we also succeeded in carrying out our research' said PIP member Bridget.

When asked how does it feel to be a member of PIP all the young ladies agreed 'it makes us feel good because our voices are being heard'.

Our Story

By the PIP Kawempe team

We are a group of ten members in PIP Kawempe, you may ask what is PIP? PIP means participatory Inquiry in Practice. For the first time we met we were so scared and we didn't know what she was planning. We thought that she (Addy) was there to promise us money and taking us outside (England). So after choosing us from the many people we got to know each other. We did this through playing some interesting games.

Apart from that we learnt so many things, we learnt to work as a team. Even the people who were so shy they can now stand and talk to people.

Take an example of the research Masooli trip, everyone was happy and what I can't forget is the food was so delicious!

So our movement has not been bad up to now because everyone is still friendly, we do our research together. However some people were rude, sometimes it's so funny – like the old lady I asked 'are you afraid of crime!' Then she said no she just beats them, she only fears thieves.

So that's all about our news!

"It makes us feel good because our voices are being heard"

PIP Makindye team

Is Research Boring?

By the PIP Makindye team

Many young people do not understand research, but 10 young ladies from Makindye do. These young ladies have done training and undertaken research about problems facing their community. When asked one young lady said 'to some extent research is boring because some people are not easily approachable. It is also so so tiresome'.

The reality is that research can be hard, but despite this these young ladies managed to conduct interviews with nearly 60 people in their community. It was done on a hot day and it was very hard work, yet the Makindye young ladies worked as a successful team.

These young ladies found out that poverty and insecurity were the most problems affecting people in their community. The benefits of the research were that 'we met different people, we learnt different things about the community and we also gained more confidence' a PIP member said. During the research the young ladies discovered that they could handle different kinds of people well.

In summary – yes research can be boring to some extent, but to a larger extent it is interesting.

Challenges and Successes

By the PIP Kawempe team

In the beginning we were very shy and we couldn't communicate with each other, but as time went on we became better in communication. We sat down as a team and we selected our subject which is youth unemployment and poverty. Then we decided to carry out the ideas of the research and we planned how we would conduct our research in the field.

While in the field we faced a number of challenges which included – it rained heavily and the roads were very slippery; some people were abusive; some people didn't want to listen to us because it was not for their own benefit; one of our friends phones fell in the water; and the ebola outbreak however had to stop us to continue with the research.

However, we were successful in our research, we managed to survey 150 people!

We learnt a lot as a team. Everyone got to know what were supposed to do to make a good team. We learnt about leadership.

We expect PIP to extend to other UYDEL centres so that other youths would also enjoy the advantages of PIP.

We expect to reduce youth unemployment and poverty through the advocate and raise awareness.

"We were successful in our research , we managed to interview 150 people!"

PIP Kawempe team

PIP Members

KAWEMPE TEAM

YOUTH RESEARCHERS - KYOIABA MILLIE; NABIGGALA BRENDAH; HANIFA HAYITA; NABADDA MOUREEN; NAKAYIZA CAROL; NANTEZA REHEMA; NANKYA SHAKIRA; NAGAWA JOSEPHINE; NAKAMYA MARY; NASSANGA RASHIDA

MAKINDYE TEAM

TEAM LEADER - NAMUDDU JOSEPHINE

YOUTH RESEARCHERS - KAYEGO MONICA; NAKAYIMA IMMACULATE; NAKIAGE GRACE; NALUBEGA EVELYN; NALUGO GORRETH; NANKULA JALIAT; NANZIRI JESSICA; NAKACHKIA BETTY; KISAKYE BRIDGET

FACILLITATORS

RESEARCH LEADER - ADELAINE WILLIAMS

RESEARCHER ASSISTANTS JULIANA KEMIGISHA (MAKINDYE) JENNIFER AKOT (KAWEMPE)

Contacts

FOR MORE INFORMATION:

Please contact any member of the PIP Makindye team via your local UYDEL outpost social worker

or email – pipmakindye@gmail.com

Www.ugandapip.wordpress.com

LEAD RESEARCHER CONTACT:

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Tel: +256 (0) 706 915 908
Email: adelaine.williams@gmail.com
Skype: Adelaine_williams

APPENDIX I14: PIP GROUP MEMBER'S FEEDBACK TO UYDEL AFTER THEY CONDUCTED A BENEFICIARY CONSULTATION

1. Do you understand what UYDEL does?
The Kawempe group felt that the young people have a good understanding of what UYDEL does Whilst young people in both groups could tell you about UYDEL's local activities, no group was able to respond to mission, vision, goals of the organisation etc.
2. How have you benefitted from the services of UYDEL and what have you learnt?
The young people said that they could now protect themselves and find employment through plaiting hair. They have also benefitted from counselling and skills training UYDEL helps young people; offers training like hairdressing; offers careers guidance; teaches discipline; gives ways to prevent diseases and keep healthy; has a group of young people that carries out research; teaches us to be confident; teaches us not to use drugs They have learnt how to abstain; about responsibility; about hairdressing; how to counsel others; how to use condoms; how to look after those who have HIV; how diseases are spread; how to solve poverty; how to stop commercial sex work
3. What do you think could be done differently – room for improvement?
Need support in finding employment after training The young people think that there should be some activities for boys Requested a larger space to work in More hairdressing teachers UYDEL should help to start a hairdressing company with the young people They would like a youth counselling group Need toilets that they can use – improved toilets in Makindye Feel that they need another hairdressing instructor The young people would like to learn how to make crafts

The young people would like to learn tailoring The young people requested more resources – rollers, dryer, weaves etc. The young people would like a fan as it gets very hot in the centre In Makindye the young people would like to sleepover – some have nowhere to stay. Note – the group told the young people about Masooli and told them that they should speak to Carol It would be good if the young people could get drinks / water Note: both groups said that the management was good and they liked it
4. What do you think about the period of training?
The Kawempe group thought that the duration of training was appropriate but maybe that they should do more hours in a day – from morning until evening. In the Makindye group 5 people thought that the training was short but the rest thought it was the right length
5. Do you have any questions or messages you want passed on to the UYDEL management?
The young people were very happy and grateful to UYDEL for everything they do and want to thank the management. The young people wanted to ask why doesn't UYDEL give young people jobs after training? The young people wanted to ask why are there no toilets for young people to use? Young people in the area are very poor and experiencing a lot of poverty (Bwaise) To start a business after graduation they need a little start-up capital young people have a lot of problem finding Many young people cannot afford to eat breakfast or lunch, they might also travel a long distance to UYDEL. It is difficult to concentrate in the afternoons because they are hungry and tired. The salons that UYDEL established before have collapsed. The young people think it is a good idea to start salons but they need initial help learning how to run them. The young people would like to meet the donors/ sponsors

6. How do you want to do dissemination in the future?	
KAWEMPE	MAKINDYE
The PIP group thinks that they should do dissemination twice a year The young people want to keep the newsletter and do it twice a year The young people would like to meet the UYDEL management – maybe 4 times a year.	The young people thought that they should do dissemination every time after research They want to talk to young people every 2 months They would like to talk to UYDEL management every 2 months They want to talk to the young people every 3 months Jessica will be responsible for communicating to management Bettie will be responsible for the newsletter
The young people liked doing the dissemination and thought it was useful They like the newsletter and think it is useful The newsletter helped (printed large copy) they could show the young people the pictures and read it to the young people. They think that it's better to do a large copy and read it to the young people. It should be noted that many cannot read.	

7. General feedback on the first dissemination?
The young people thought the dissemination went well and they would like to do it again The PIP groups were very happy after the dissemination The young people listened to the PIP group They were shocked by how interested the young people were – the young people listened, participated and were very impressed by the work of the PIP group. The PIP group did not expect the young people to be so interested It made them proud and gave them more confidence The young people thought they were going to get a soda (Bwaise) The young people asked if they could join the group. They young people said that it may be possible but not just now as Addy is leaving soon and the funding will stop. The young people asked – what they had gained from the group. They said it had taught them how to be responsible and even changed the way they were at home. Their English has improved and they have learnt about research, accountability and team work. They have also made new friends and they interact with Addy and UYDEL. It has also given them a purpose and something to do. The PIP group was very proud of their work and the other young people were very impressed by them The PIP group gives the others inspiration

APPENDIX J: INFORMATION AND DISSEMINATION MATERIAL

PIP case study

Uganda Youth Development Link [UYDEL] is a Ugandan NGO that works with young people on issues such as child rights, sexual health, HIV prevention, trafficking and substance abuse. The organisation has 5 outreach posts in the most disadvantaged slum areas of Kampala. UYDEL offers services such as counselling, vocational and life skills training to young people. One of UYDEL's core values is participation.

Like most NGO's, ensuring accountability is a key issue. Accountability can be defined as 'how you ensure and demonstrate responsibility'. UYDEL realised that to act responsibly they had to enhance participation, not only in their projects but throughout every aspect of their work. In conjunction with De Montfort University, UYDEL piloted a new model of working, known as Participatory Inquiry in Practice [PIP]. PIP gives practitioners time and space to improve participation and to enhance accountability. Young beneficiaries are voted by their peers to become PIP group members and the elected young people then help ensure that the voice of young people is represented within the NGO.

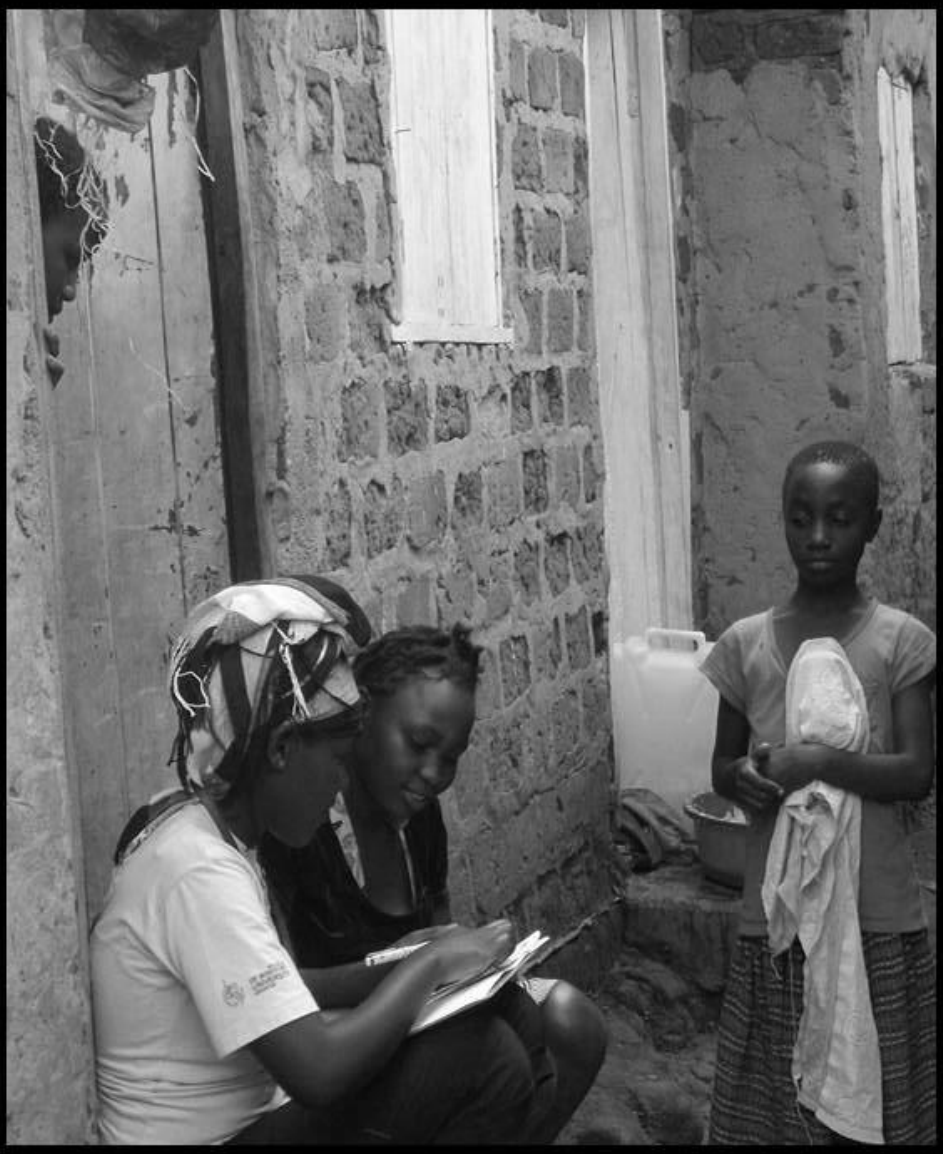
The contribution of the PIP group has been wide ranging. Providing training to the PIP members was a key first step, empowering them with the knowledge and skills to take forward the issues that were important to them and their peers. The twenty PIP Group members then selected issues that they wished to take forward and conducted their own youth-led research with over 450 individuals. Armed with this detailed information, they have since established their own business and designed an advocacy campaign on crime in slum areas. They have also had a direct impact on key aspects of UYDEL's work, contributing to UYDEL's strategic planning, project monitoring, evaluation and dissemination.

The messages from young people is clear:

'We want to solve poverty, because poverty begins with us'

'PIP makes us feel good because our voices are being heard'.

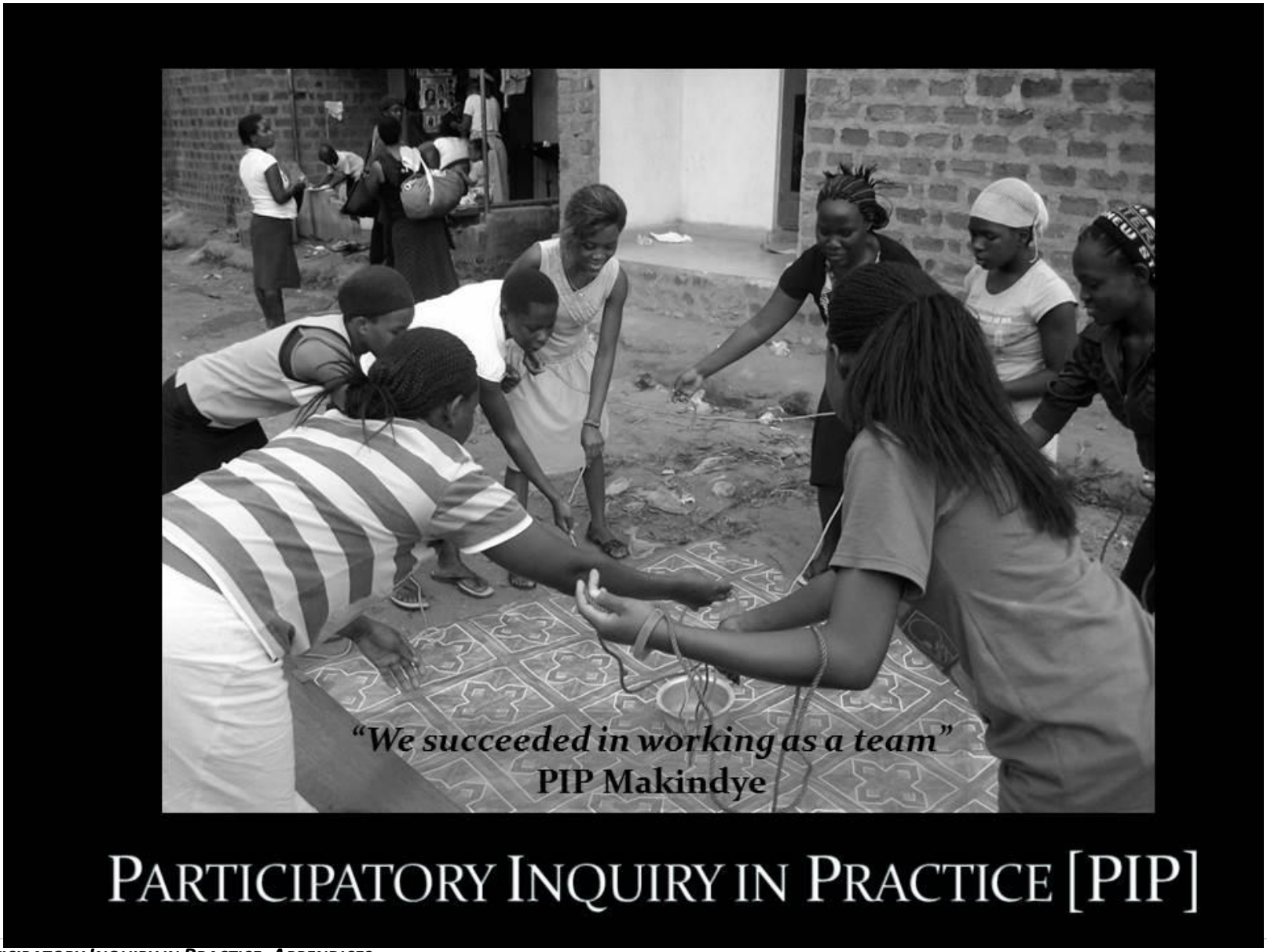
PARTICIPATORY INQUIRY IN PRACTICE [PIP]



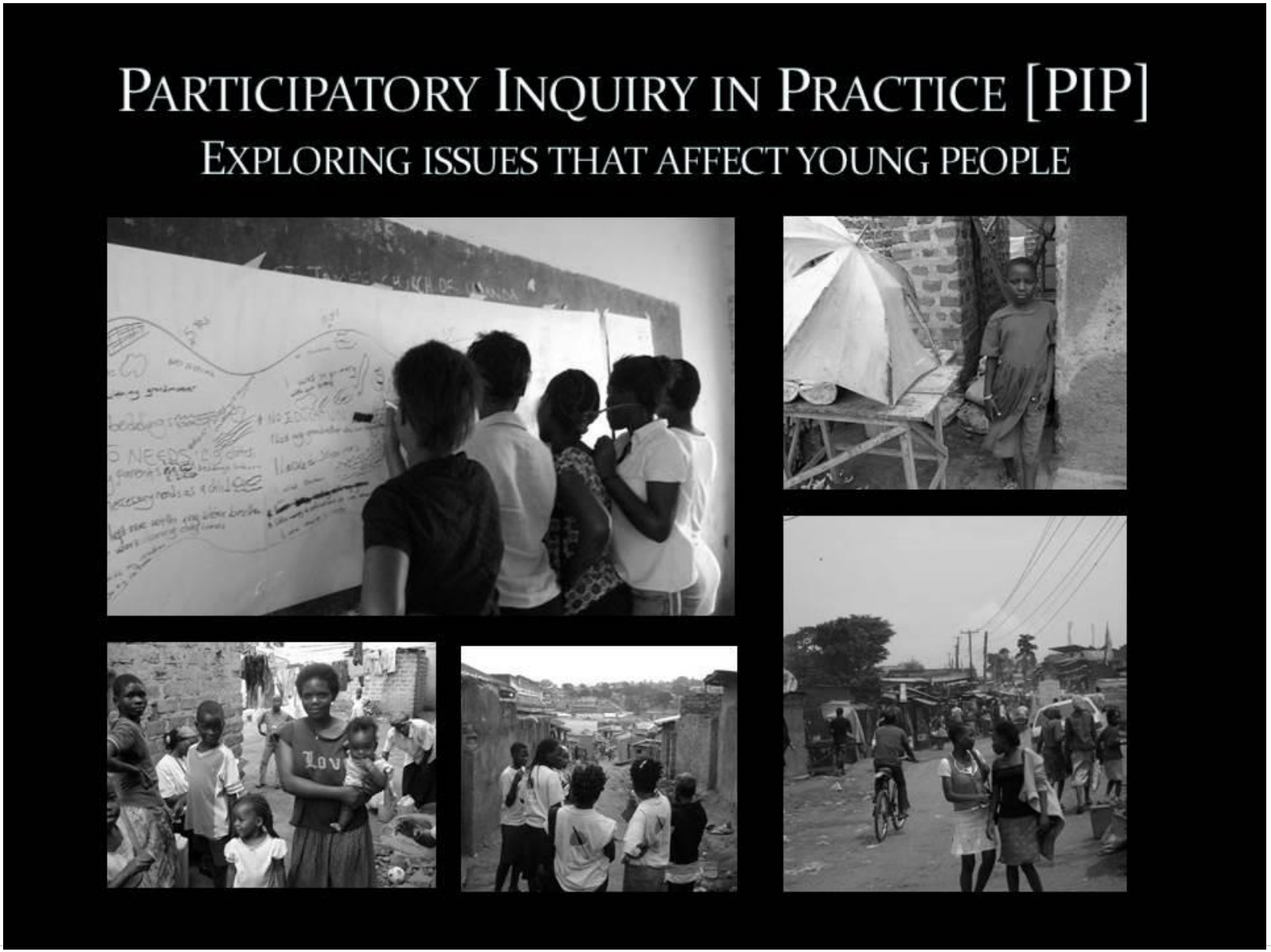
"We learnt that people faced many problems" -
PIP Makindye

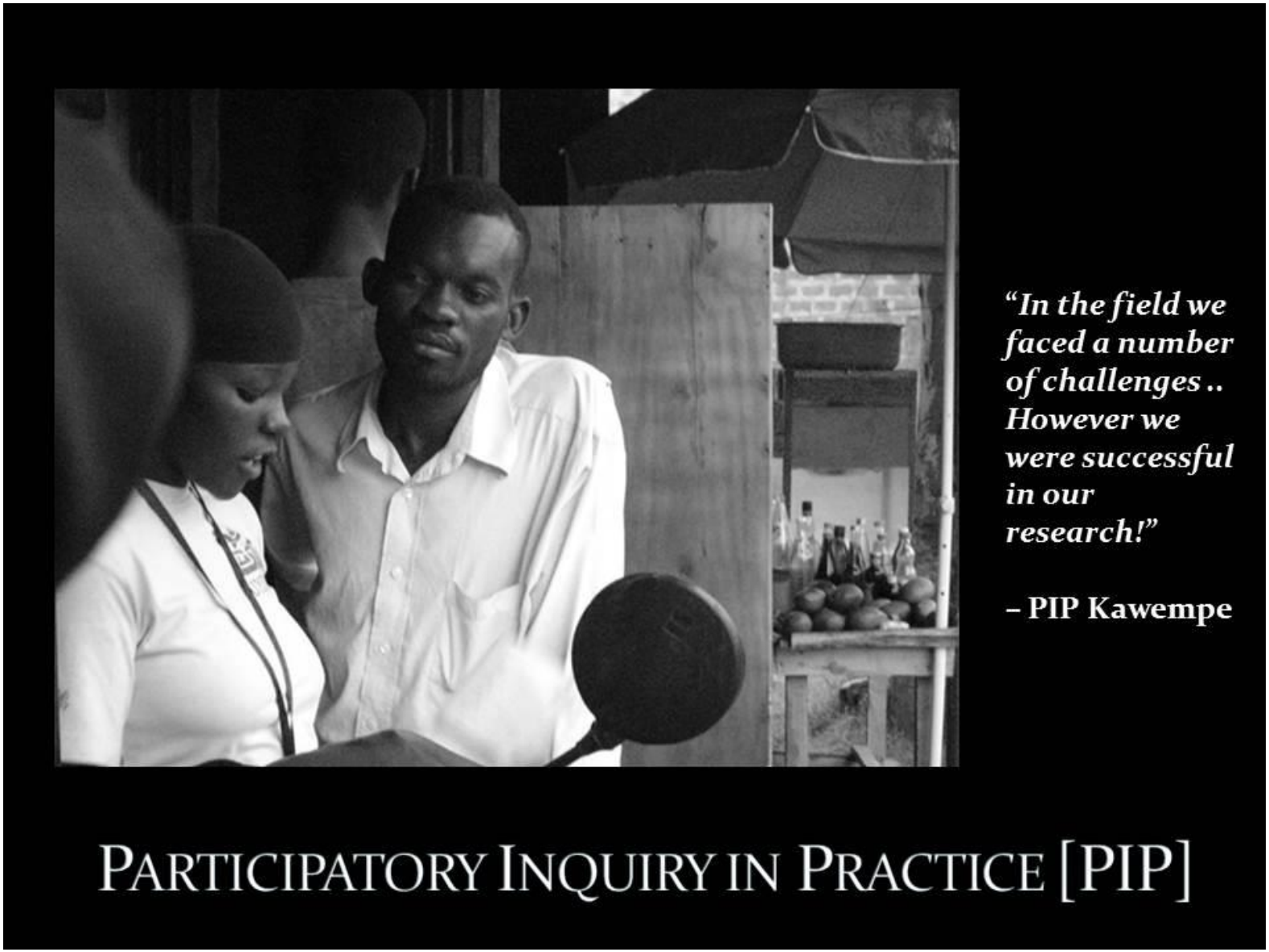
PARTICIPATORY INQUIRY IN PRACTICE [PIP]:

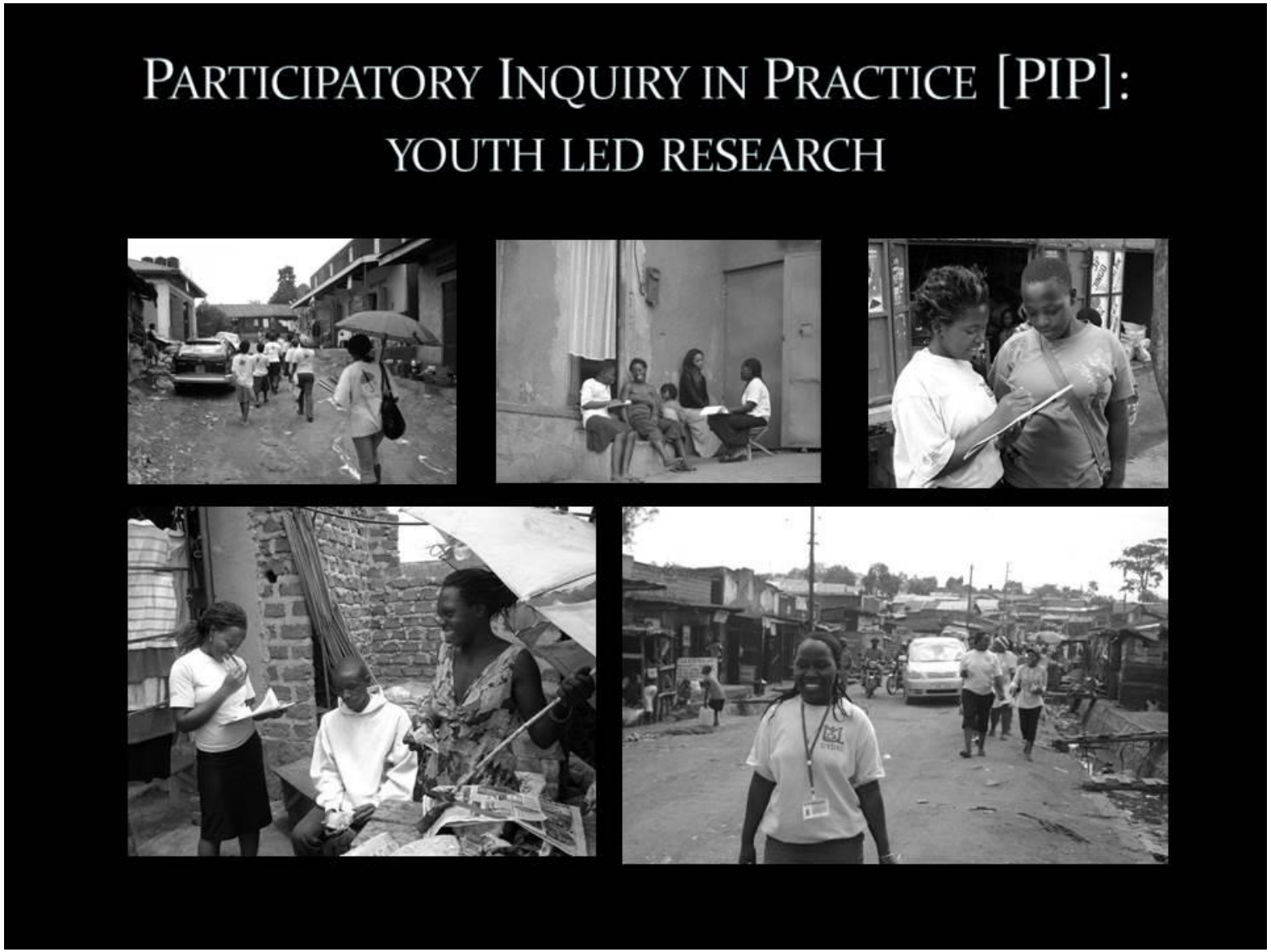
EMPOWERING YOUNG WOMEN TO HAVE A VOICE & MAKE A DIFFERENCE

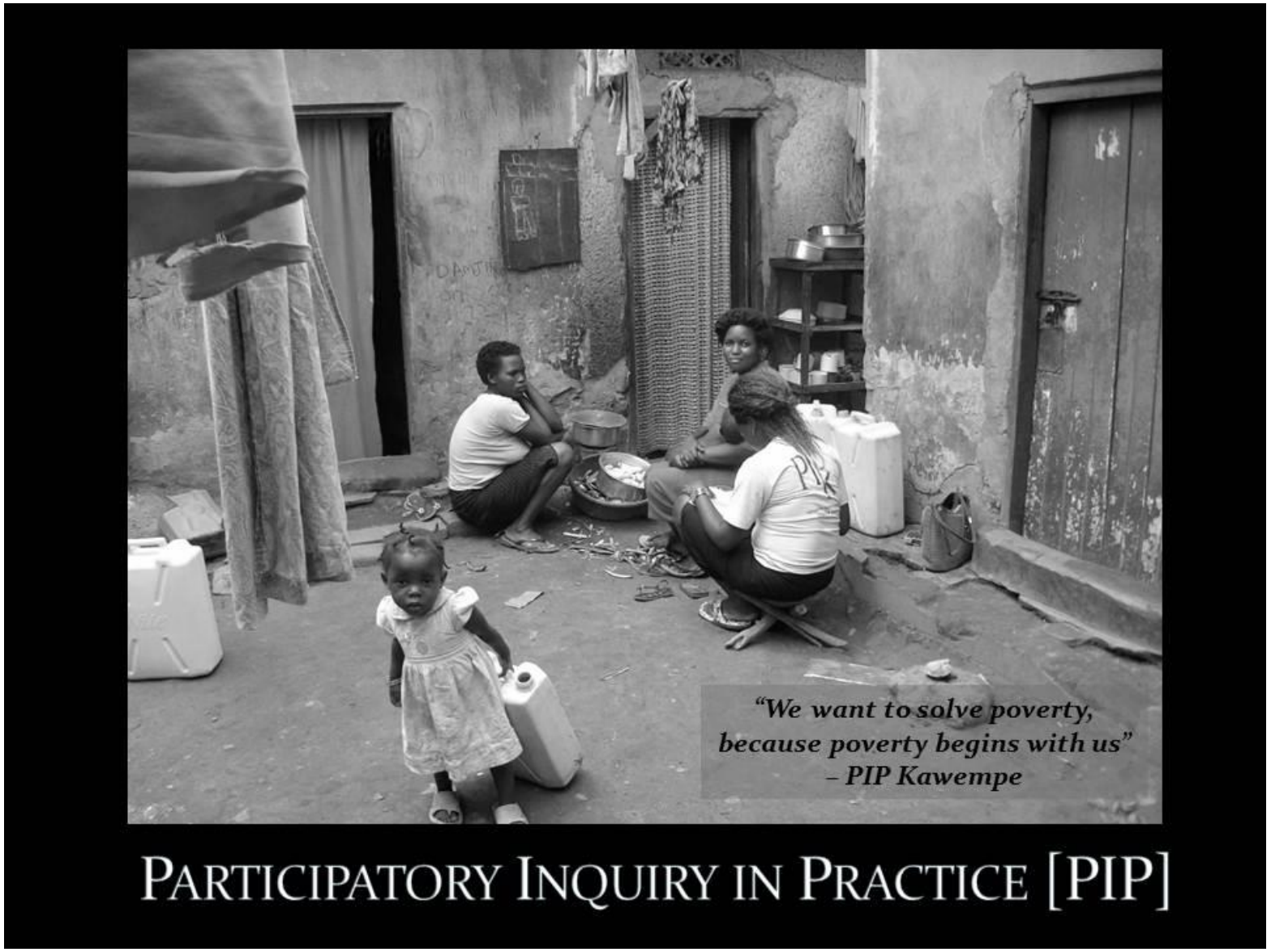

"We succeeded in working as a team"
PIP Makindye
PARTICIPATORY INQUIRY IN PRACTICE [PIP]

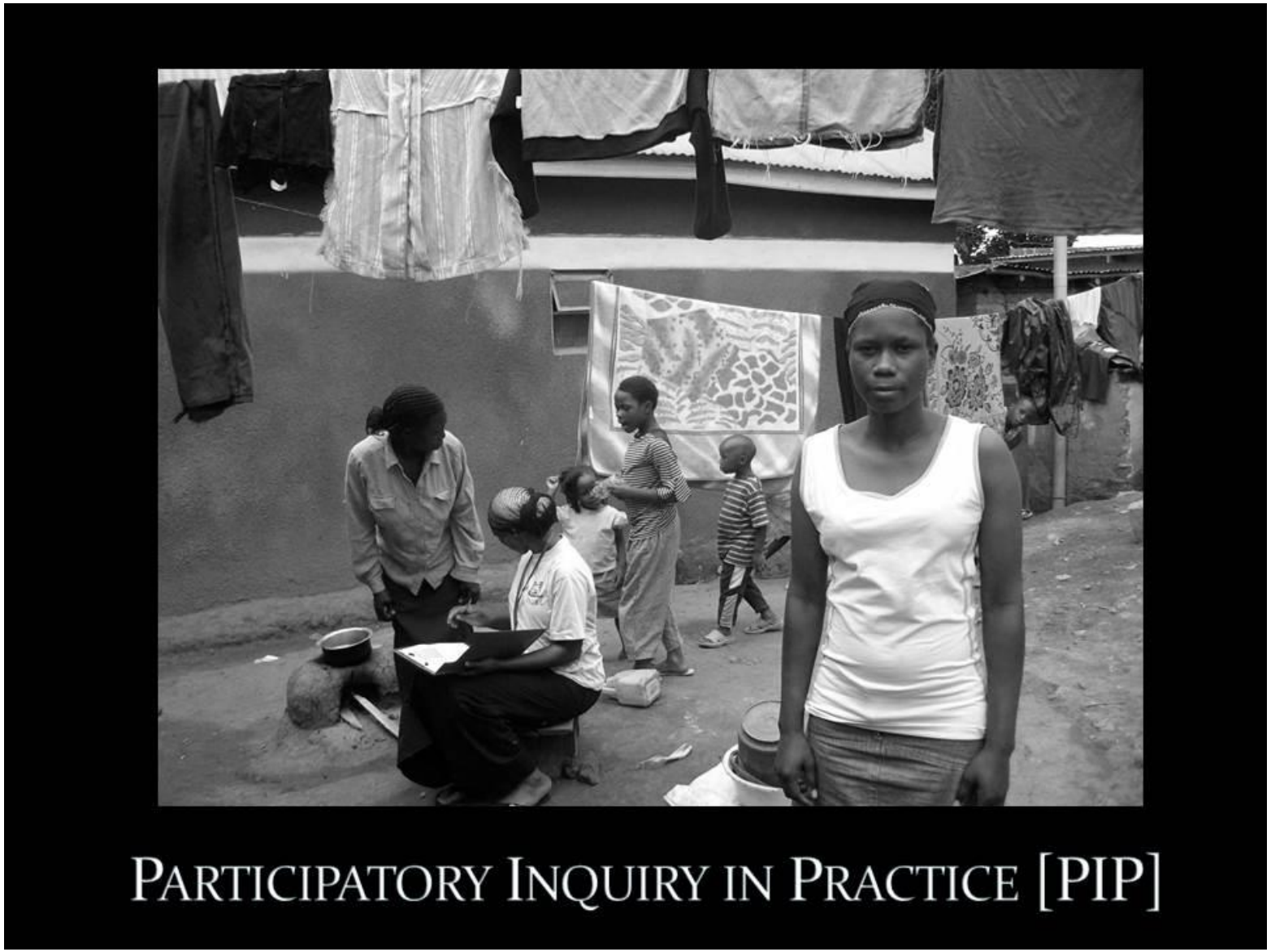

"SPORTS"
Saachi
N/M
Poverty
PARTICIPATORY INQUIRY IN PRACTICE [PIP]


PARTICIPATORY INQUIRY IN PRACTICE [PIP]
EXPLORING ISSUES THAT AFFECT YOUNG PEOPLE


"In the field we faced a number of challenges .. However we were successful in our research!"
– PIP Kawempe
PARTICIPATORY INQUIRY IN PRACTICE [PIP]


PARTICIPATORY INQUIRY IN PRACTICE [PIP]:
YOUTH LED RESEARCH


"We want to solve poverty,
because poverty begins with us"
– PIP Kawempe
PARTICIPATORY INQUIRY IN PRACTICE [PIP]


PARTICIPATORY INQUIRY IN PRACTICE [PIP]

PARTICIPATORY INQUIRY IN PRACTICE [PIP]

YOUTH-LED ACTION AND RESEARCH

"It makes us feel good because our voice is being heard"

– PIP Makindye

APPENDIX J3: DESCRIBING PIP THE PRACTICE MODEL IN 2013

Participatory Inquiry in Practice [PIP]:

An introduction

What is PIP?

Technically PIP is a 'practice model'. 'Practice models' translate academic theory into ways of working for practitioners; they are commonly used in the fields of nursing, education and social work. PIP helps practitioners by offering innovative ways of working without having to spend great deals of time reading academic literature.

PIP is a 'practice model' that was designed with the specific purpose of enhancing NGO accountability. In this context accountability moves beyond report writing and financial accountability. The model considers all types of accountability; whilst the importance of reporting to donors or financial accounting is not underestimated, greater focus is given to 'downward accountability'. Hearing the voices of and genuinely participating with beneficiaries is seen as integral in attaining good organisational accountability.

What would we actually do in PIP?

Whilst PIP uses many new and pre-existing participatory tools PIP is more than a set of tools. The main focus of PIP is largely two-fold

1. **To support practitioners:** Practitioners have to balance multiple accountability demands and expectations. PIP facilitators receive tailored training, ranging from human-rights, ethics, safe-guarding, participatory research and accountability standards. An important part of PIP is that practitioners are given time, space and support to critically reflect on practice and to learn new skills. In the future we wish to offer accredited training for PIP facilitators.

2. **To support young people/ beneficiaries**: PIP facilitates genuine engagement in all aspects of the NGO. After a period of open engagement, PIP group members are selected by their peers. PIP group members are then offered training in various areas such as - teamwork, leadership, accountability, research, ethics, monitoring and evaluation. PIP group members decide for themselves what activities they choose to undertake and which issues they choose to explore. Communication avenues are set up between the PIP groups and NGOs to improve integrated participatory working.

PIP activities should not be pre-prescribed as this takes away ownership. However, in the Ugandan pilot young people choose to: undertake youth-led research with over 450 community members, establish their own business, design an advocacy campaign on crime in slum areas, inform the strategic planning process of the NGO, write several project proposals, write several newsletters, disseminate activities to local youth and act as a feedback agent for young people engaged on the NGOs programmes.

What are the potential benefits of PIP?

- **Support for staff** – dedicated time for reflection within all organisational projects
- **Training** for staff, young people and beneficiaries in accountability, participation, ethics and research
- Approaches **tailored to your NGO** and its needs
- **Ethical and safeguarding support**, tools and training (essential when working with vulnerable youth or in context sensitive locations).
- A potential way of engaging young people/beneficiaries in project **design and proposal writing**
- A potential way of engaging young people/beneficiaries in **monitoring and evaluation**
- A potential way of engaging young people/beneficiaries in research
- A potential way of enhancing **feedback and complaints mechanisms** (often required by donors).
- A potential way of engaging young people/beneficiaries in **strategic planning, NGO governance and legitimacy**.
- A way of **identifying local need** and producing **good quality, useable research**.
- PIP supports many of the requirements of **accountability mechanisms** such as HAP.

- Facilitators will join part of an **international network** which is continually learning, sharing and growing
- PIP **establishes links with the local community and beneficiaries via elected representatives**. PIP group members are aware of local need and issues and can initiate wider consultation if required. In the Ugandan pilot these links were found to speed up proposal writing, evaluations and strategic planning which required consultation.

We already do participation, would PIP conflict with what we are already doing?

PIP is a framework in which other participatory and accountability approaches can sit. For some organisations with well-developed participation and accountability mechanisms, PIP may simply offer time for critical-reflection and time for sharing of best practice. Practitioners will be encouraged to act as advocates of change, in how the aid and NGO system currently works. They would also have the opportunity to attain recognition of their skills as facilitators, to inform future versions of PIP and to join a network of PIP facilitators.

For NGOs with no or little experience of accountability or participation, PIP offers multiple training opportunities, structured development of reflective practice and the support of being part of the PIP network.

PIP is a continually evolving model which is already within its 3rd evolution. Consultation and needs assessment would be undertaken for any NGO considering adopting PIP to ensure it met needs and did not cause replication or a conflict of interest.

How much time and money would PIP require?

It's important to emphasise that PIP should not be viewed as a project, but a long-term on-going approach to normal work. It shouldn't be seen as something that needs to be in addition to normal work, but something which is a part of normal work. PIP does require time and a small budget.

The time required for PIP is front-loaded, it does require an initial investment of time to support the young people to engage, to develop their skills, to build understanding, trust and confidence. However, during the Ugandan pilot of PIP it was found that once PIP groups were established that they could facilitate rapid communication and dissemination with beneficiary groups, which speeded up and normal project management and participation work.

PIP costs should be negotiated on a case-by-case basis, the NGO involved will also need to talk to the young people/ beneficiaries involved. While basic costs for facilitation are essential, the cost of integrating PIP into practice would be much less than the cost of an external consultant who is brought in to facilitate participatory activities. One solution may be to integrate PIP costs into project proposals as an overhead cost. Another solution may be to seek additional funding to support participatory activities, research or communication. The main cost incurred relates to facilitator time - In the initial Ugandan pilot, each PIP group met for 3 hrs each week and PIP facilitators met jointly for an additional 2hr reflection session.

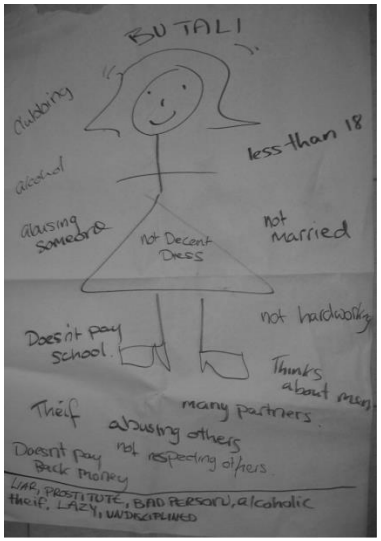
The young people we work with are illiterate, can they engage with PIP?

Many of the young people engaged in the Ugandan PIP pilot were illiterate. PIP utilises many non-literary tools and PRA methodologies. The type of work the PIP group undertakes and the speed at which it undertakes the work would vary dependent on the capacity of the young people involved. Because PIP is not a project there is great flexibility to be responsive to need and to move at the speed that the group needs. Language is taught around the subject of interest, in a methodology close to the REFLECT model. The process gives young people literacy skills and the language to be able to discuss critical issues with NGOs, local leaders and international actors.

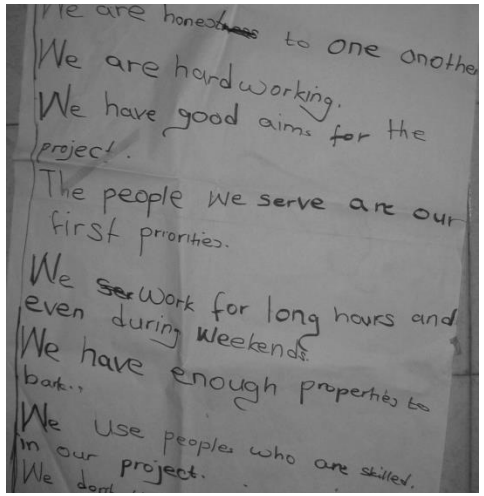
Is PIP sustainable?

Again PIP is not a participatory project but a long-term and on-going way of working, thus if integrated into project proposals, it should be considered as sustainable as the organisation is. After 13 months of working in the Ugandan pilot, all initial funding of PIP ceased. PIP group members and facilitators at this stage become so passionate about the process that they choose to continue the groups without any funding. The PIP groups later became funded from successful project proposals written by the PIP groups. Being part of the PIP group encouraged and gave some young people the confidence to move on in other aspects of their life; returning to school, opening businesses and attaining employment. As these young people left, new members were elected to the group and supported by older members. By acting as a voice for beneficiaries, PIP members maintained close links and were able to find new members with ease. Young people, who remained in the group for more than one cycle, were offered the opportunity to take part in a certificated training course; they are now level 1 PIP facilitators.

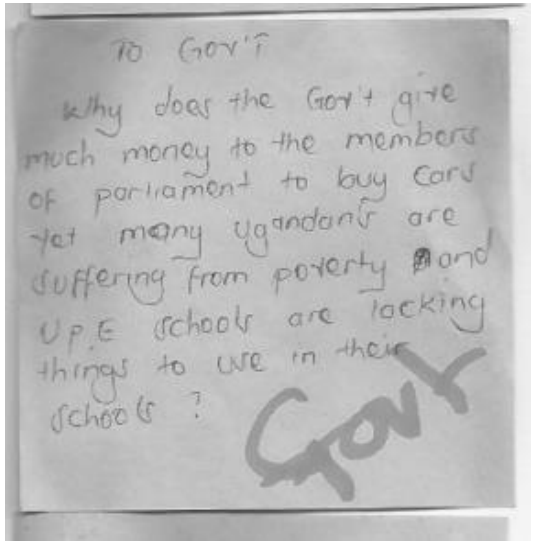
APPENDIX K: PICTURES



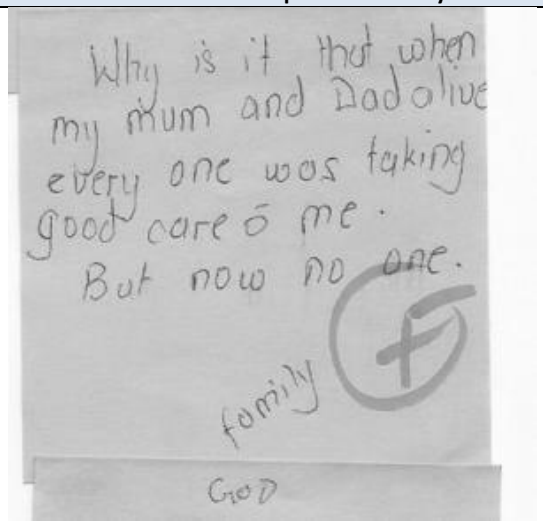
Picture 1: Mrs Responsible activity

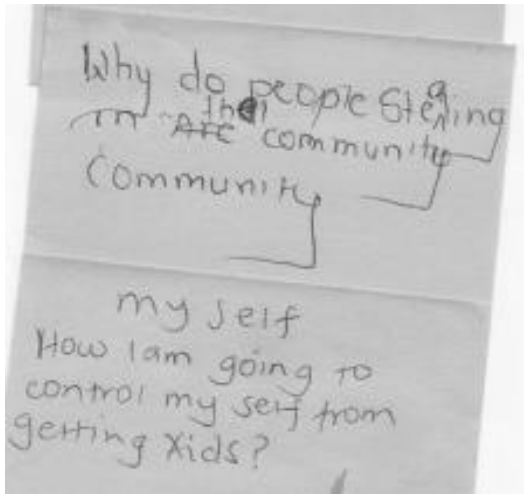


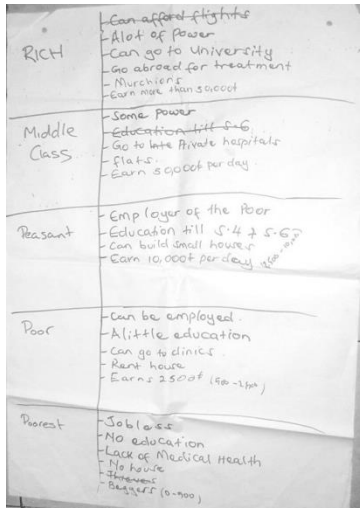
Picture 2: My NGO activity

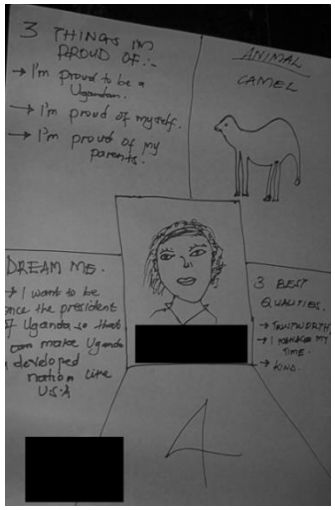


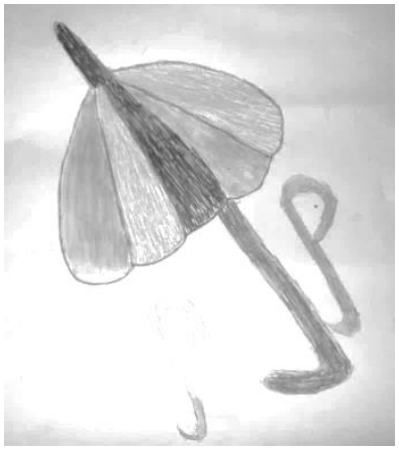
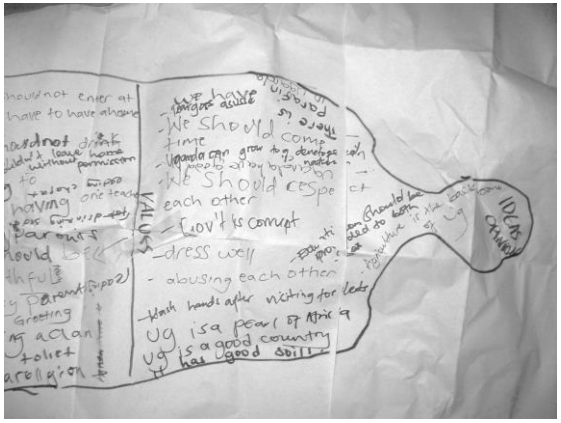
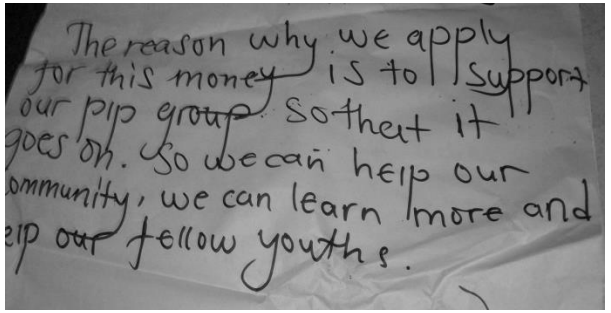
Picture 3: ask me a question activity

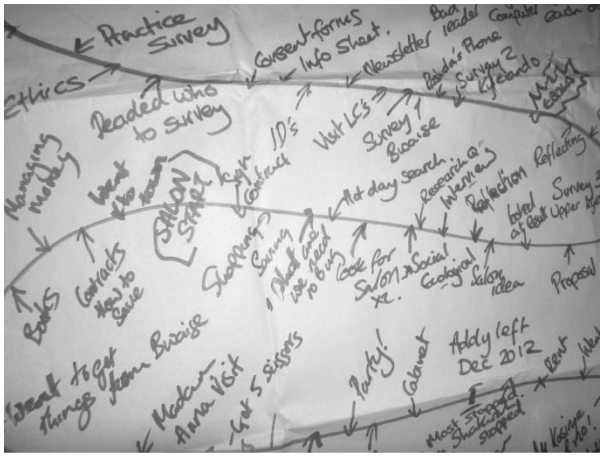






Picture 3: ask me a question activity	Picture 3: ask me a question activity	Picture 4: Poverty ranking activity
		
Picture 5: Poster activity	**Picture 6: Rivers of experience activity**	**Picture 5: Rivers of experience activity**
		

Picture 7: The but why? Tree activity	Picture 8: Show me, tell me activity	Picture 9: PIP group session being led by group member
		
Picture 10: PIP group member session evaluation	**Picture 11: PIP group members' logo design**	**Picture 12: group members' logo design after graph design**
		
Picture 13: PIP group member session evaluation	**Picture 14: teambuilding activity**	**Picture 15: PIP group proposal**

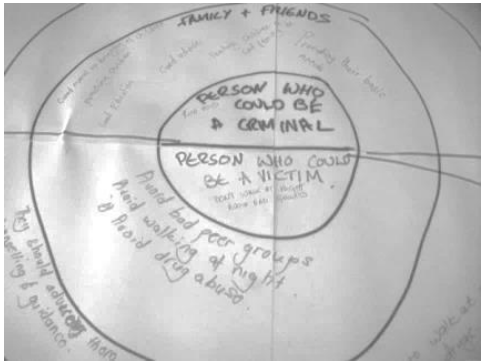
		
Picture 13: devil's advocate activity	**Picture 13: map of achievements**	**Picture 11: PIP group presentation at the Masooli workshop**
		
Picture 11: PIP group presentation at the Masooli workshop	**Picture 10: The Masooli workshop**	**Picture 10: The Masooli workshop**

Picture 16: team game being led by group members

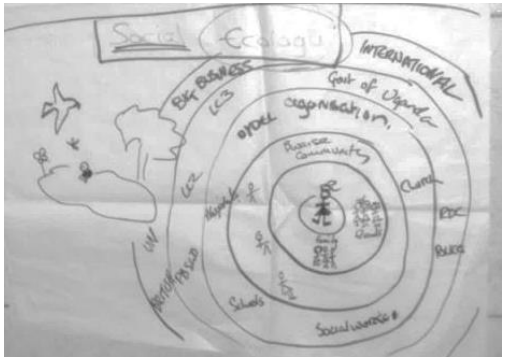
Picture 17: group member led discussions

Picture 18: computer lessons

Picture 19: social ecological mapping

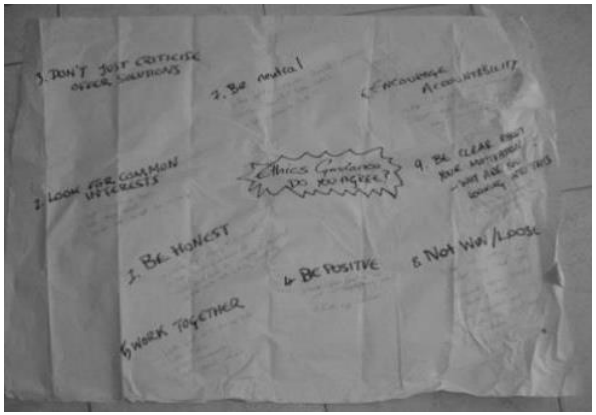


Picture 20: social ecological mapping

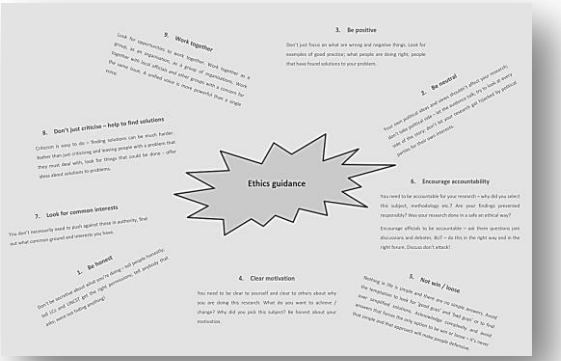


Picture 21: social ecological mapping

Picture 22: activity from rights-based training

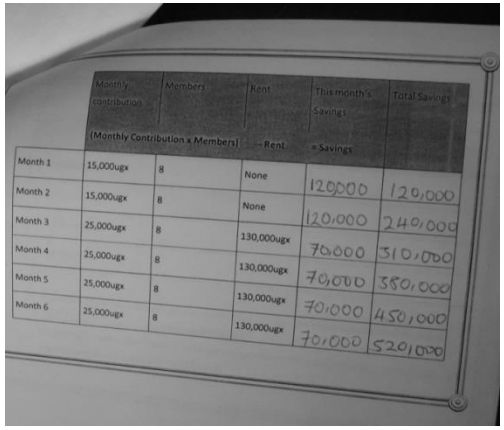


Picture 23: ethical guidance activity



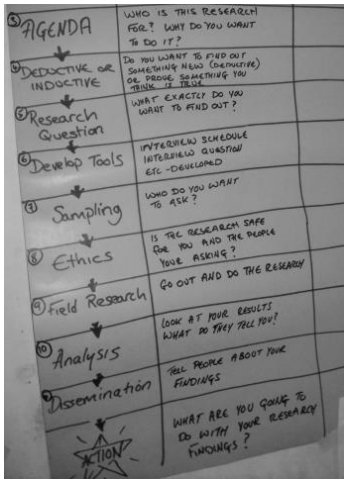
Picture 24: ethical guidance tool

Picture 25: business start-up training

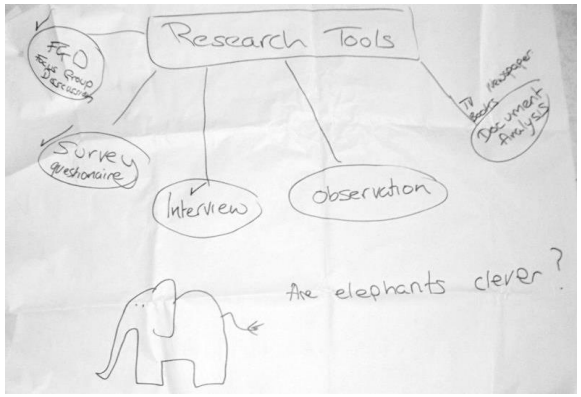


Picture 26: PIP salon guide

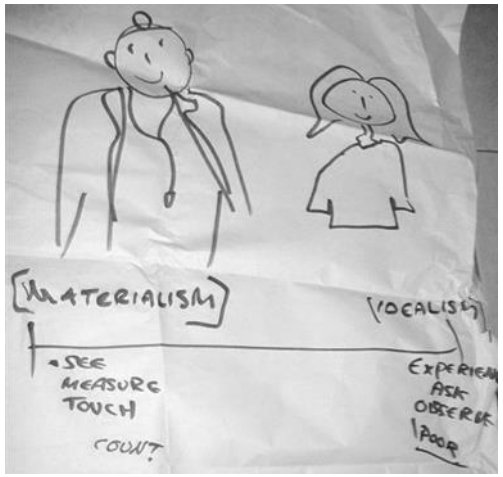
Picture 27: PIP facilitator training



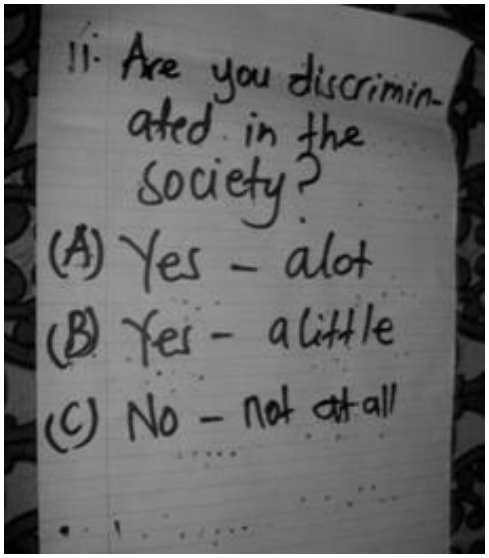
Picture 28: stages of research activity

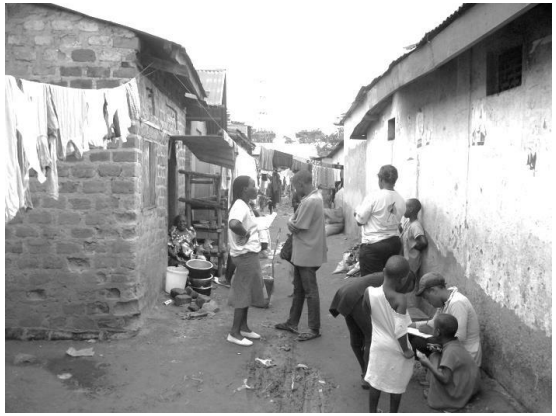


Picture 29: research tool activity



Picture 30: ontology activity



Picture 31: development of youth-led survey	Picture 32: ethics training activity	Picture 33: ethics training activity
		
Picture 34: PIP group undertaking youth-led research	**Picture 35: PIP group undertaking youth-led research**	**Picture 36: PIP group undertaking youth-led research**
		
Picture 37: PIP group undertaking youth-led research	**Picture 38: PIP group undertaking youth-led research**	**Picture 39: PIP group undertaking youth-led research**

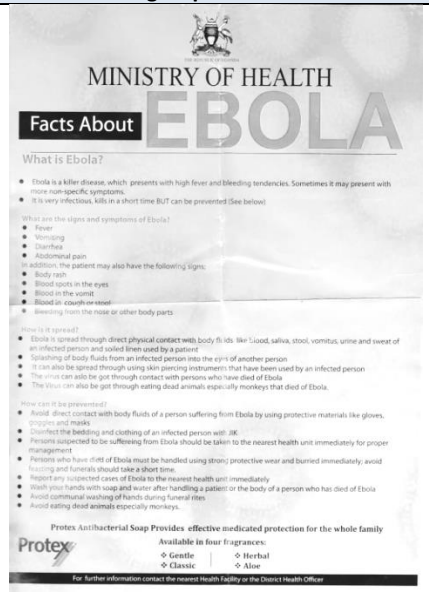
Picture 40: PIP group members undertaking analysis

Picture 41: PIP group members in their salon

Picture 42: PIP group members in their salon

Picture 43: PIP group members after interviewing local government official

Picture 44: PIP group members' certificate ceremony



Picture 45: Government Ebola advice

APPENDIX L: EXAMPLES OF ACTIVITIES

APPENDIX L1: EXAMPLE ACTIVITY - INTRODUCING PIP

Creator / Reference	Created for the purpose of this study
Timing:	15 min
Resources:	Consent forms
Data Capture Method:	Consent forms

1. Intro: Hi I came to meet your group before to introduce myself. I am Addy a researcher from England. In my study I want to see if young people like you can make a responsible and accountable NGO project.
2. I will take some young people through the whole process of an NGO project through problem identification – research – activity planning – project management – monitoring – evaluation.
3. It will be your project – not my project – not UYDEL's project. You will be the bosses. I will be here to support you and train you. The only time I or UYDEL will intervene and become the boss is if we think that your group is going to do something which may harm yourself or others.
4. For the next few weeks I am happy to work with anyone that wants to take part. But because it's too hard for me to work and train a very big group, so later we will have to decide together who I should work with over the next year.
5. Today I am not going to ask you anything very personal or private. All we are going to do today is explore what we mean by NGOs, accountability and responsibility. We need to do this so everybody has some idea what we mean and so we can get started on the project.
6. Only if it's ok with you, I will record the information you give me today because I have a very bad memory and use it in my study. Sometimes I might keep a record by keeping flip chart paper; sometimes by video; sometimes by sound recording.
7. I might use these recordings in a big report I have to make to my university – something called a thesis – To be honest to you about my motivation (reason for doing this) you should know that I will use this thesis to get a qualification at my university in England. I might also

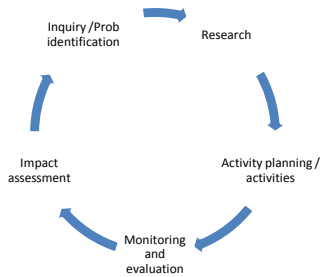
write about this experience in books on my website or magazines for other researchers.

8. Anything you tell me will be kept private - I will keep your identity secret.
9. It's fine if you don't want me to use any of the information – just tell me. You can still take part in the activities and no one will be angry with you. If you want to keep the pictures you do that's ok too – if it's ok with you I will just keep a photo of them.
10. The only time I might talk about you to someone else is if I hear something that makes me think that you or somebody else is in danger - then I might need to talk to someone else to find out how best to help. But today this is very unlikely to happen.
11. It's also very important to make sure that you understand that I am not here to make any promises of funding or activities and that while I will work very closely with UYDEL I am not a UYDEL staff member.
12. I can help and train those that are interested but we must do the work together, and find out things together. I'm not here to talk about very serious things or ask about your personal lives - I'm not here as a teacher or boss, today you are my teachers and we hope to have some fun too.
13. Do you have any questions for me?
14. If you still would like to continue and are happy and clear with what I have said – I would ask you please to sign this consent form
15. Today I have bought 50,000 UGX to pay for refreshments. As the first step to you being your own bosses you can decide how to use this money, when you would like refreshments and how to organise this.

APPENDIX L2: EXAMPLE ACTIVITY - INTRODUCTIONS TO PIP

Creator / Reference	Created for the purpose of this study
Activity 1:	Intro to session
Facilitator:	
Timing:	15 mins
Resources:	None
Data Capture:	

1. Hi. As you know, my name is Addy. I am Addy a researcher from De Montfort University, England. In my study I want to see if young people like you can make an accountable NGO project.
2. That is a project THAT ENSURES AND DEMONSTRATES IT IS RESPONSIBLE
3. You have been selected as the CORE group who will run this project. 10 people in Makindye and 10 people in Bwaise have been selected.
4. I will take some young people through the whole process of an NGO project through inquiry / problem identification – research – activity planning – project management – monitoring – evaluation.



5. It will be your project – not my project – not UYDEL's project. You will be the bosses. I will be here to support you and train you.
6. It's important to understand that I or UYDEL are not here to give you funding or activities on this project. Any activities we do you will have to find the resources yourself.
7. However, everyone should get some benefit from this process

8. I will get my study – UYDEL will get tools and resources to use – you will get training and certificates of involvement.
9. Today we are going to talk about hwo we will manage the group – our expectations – and get to know each other a little better
10. We cannot start the project (The inquiry etc) until the government of Uganda gives me research permission. So until we do we are not going to look at any specific issue or problem – what we will be doing is team building and skills training so we are ready to start as soon as we get it.
11. Each session I am going to give the group 5,000 UGX per person – this is my budget. So if 10 people turn up I will give you 50,000 UGX if only 9 turn up I will give you 45,000 UGX. I am going to let you decide what to do with this money (refreshments / food / take home / pool together) – but we will talk about that, not now but at the end of today.
12. I have also purchased this box of resources for your group – again we will talk about how it is managed at the end of today.
13. For now, I just want to let you know that I have bought you each your own book – to write notes and to keep a diary at the end of each session.
14. At the end of the project I may ask your permission to look at these books – to help me with my study. Only if you give permission! But I thought I will let you know now that I might ask.
15. Only if it's ok with you, I will record the information you give me today because I have a very bad memory and use it in my study. But only if it's ok with you – I will ask again later and let you know what I will be using and how.
16. Is this ok?

APPENDIX L3: EXAMPLE ACTIVITY - YOUR EXPECTATIONS

Creator / Reference	Created for the purpose of this study
Activity 3:	Your expectations
Timing:	20 min
Resources:	Flip chart paper and pen
Data Capture Method:	Flip chart

1. Ok, now we know each other a little I would like to know more about your expectations for this group
2. Expectations of each other
3. Expectations of me and the research assistant – I will be honest if your expectations are unrealistic – e.g. if you expect me all to buy you a car!
4. Let's talk about the agenda for next week
5. Next week I was hoping to get your views on what training you think you need – what training you need to run an accountable and responsible project.
6. I was also hoping to talk about how to work in and manage groups.
7. What do you think? Anything else to add to the agenda?

APPENDIX L5: EXAMPLE ACTIVITY - INTRODUCTIONS – POSTER

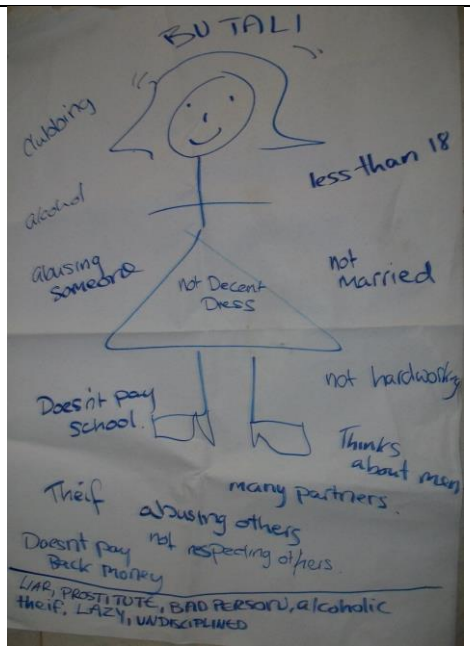
Creator / Reference	
Activity 3:	Poster
Timing:	45 mins
Resources:	Flip charts, photos, pens, glue
Data Capture Method:	Posters

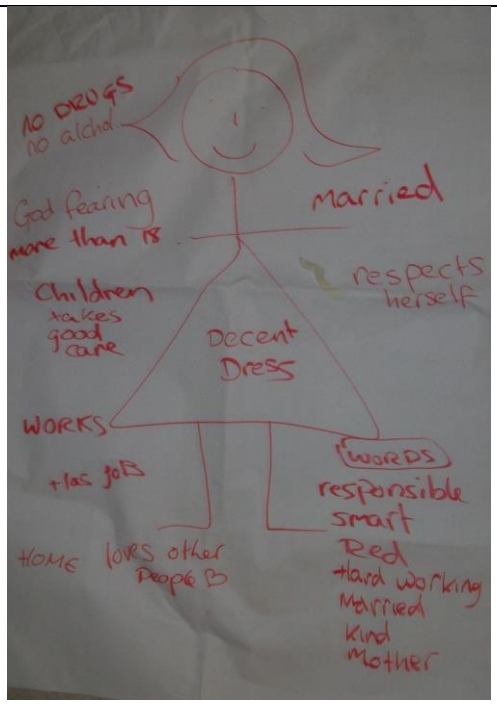
1. I want you to work in pairs to create a poster about yourself – work with someone you don't know too well or who you have never met.
2. Put a picture of yourself in the middle
3. Then split the remainder of the poster into 5 parts – write /draw the following
    a. 3 things you are proud of – draw
    b. The animal that is most like yourself – draw
    c. Dream you – the person you dream of being – draw
    d. 3 best things about your personality – write
    e. Your skill / how you are in groups – write select from list on flip chart
4. You need to work in pairs because you will not present your own poster – your partner will.

APPENDIX L6: EXAMPLE ACTIVITY - ACCOUNTABILITY – MRS RESPONSIBLE

Creator / Reference	Created for the purpose of this study
Timing:	20 mins
Resources:	Flip chart paper; pens
Data Capture Method:	Video, flipcharts, notes

1. Accountability is about how we ensure and demonstrate responsibility. So before we look at accountability today what I would like to do is think about responsibility and what this means to you.
2. Draw a person – her name is Mrs Responsible. She is a very responsible person – what is this person like?
    a. How do you know she is responsible?
3. Draw a person – her name is Mrs Irresponsible. She is a not very responsible person – what is this person like?
    a. How do you know she is irresponsible?

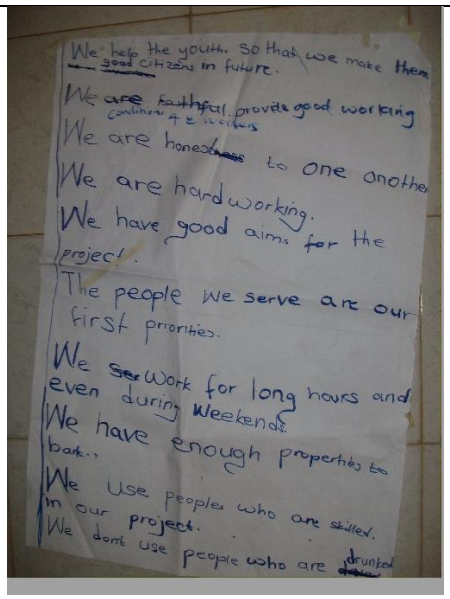


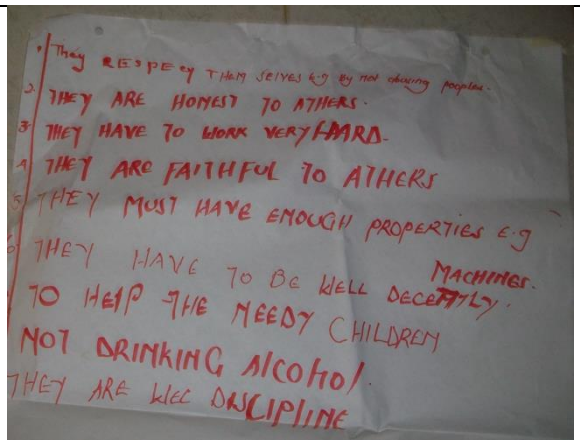


APPENDIX L7: EXAMPLE ACTIVITY - ACCOUNTABILITY – OUR NGO

Creator / Reference	Created for the purpose of this study
Timing:	45 mins
Resources:	Flip chart paper, markers, bag of candy
Data Capture Method:	Video, flip charts

5. What about organisations like NGOs what makes an NGO responsible or irresponsible?
6. We're going to do a pretend activity. Imagine I'm a funder from the USA with £1 million dollars. I'm going to split you up into groups to make up your own imaginary NGO that is helping children and young people in Kampala. Pretend that you know that I want to give the money to the most responsible NGO – I will give you 20 mins to make a presentation in your groups and tell me why your pretend NGO is the most responsible. Why should I trust your NGO with this money – more than the others? Winning team gets a bag of candy.
7. Watch presentations then have a vote for the most responsible NGO (can't vote for own presentation)
8. As presentations are made facilitator should note key points on flip chart
9. At the end we should summarise what is a responsible NGO





APPENDIX L8: EXAMPLE ACTIVITY - ACCOUNTABILITY – NGO X

Creator / Reference	Created for the purpose of this study
Timing:	15 mins
Resources:	Pens, flip chart
Data Capture Method:	Video, sound, flip chart

17. Last week we thought about responsibility and what is responsibility. This week we are going to think about accountability
18. Before I continue I need to check that same people are here as last week (if new people, will have to go through intro and consent again from last week).
19. Accountability is all about the HOW
20. HOW can we be responsible: there are two parts to the HOW - HOW we ensure and demonstrate responsibility
21. Ensure – HOW we make sure we do responsible things (BEFORE WE DO ANYTHING)
22. Demonstrate – HOW we show/prove that we have done responsible things (AFTER WE HAVE DONE SOMETHING)
23. It's easier to explain with an example
24. This is NGO A – they have been given money by the US government and have used it to do livelihood training with young people in Kampala – are they responsible?
25. Now I tell you that NGO A has no records of how much money they were given or what they spent the money on, they can't tell you how many people they trained or how much it cost – do you think they are responsible now?
26. They cannot DEMONSTRATE that they were responsible – what could NGO A do differently?
27. This is NGO X – has perfect records: they can tell you exactly how much money they were given; what every shilling was spent on; how many people they helped – are they responsible?
28. Now I tell you that they spent £10 million US dollars on buying 1 million children's plastic chairs. They gave 1 million children's plastic chairs to 1 million families in Uganda. Because

they believe that children's plastic chairs will improve people's lives in Uganda. It was just one person's idea, that person never spoke to anybody else about what the money should be spent on – Do you think they are responsible now?

29. NGO X did not have any system in place to ENSURE that they would use the money responsibly
30. What could NGO X have done differently?

APPENDIX L9: EXAMPLE ACTIVITY - ACCOUNTABILITY – CIRCLES

Creator / Reference	Created for the purpose of this study
Timing:	15 mins
Resources:	Ball, flip chart
Data Capture Method:	

1. NGO X obviously had made a poor decision in project choice
2. What would you spend money on if you had to make a decision?
3. First of all, we are going to look at what issues exist in this community – later on we will look at the root causes and prioritise the problems
4. Although we are here to think about what problems exist in your community I think that it's not good to always think about the negative things. I would also like to know more about your community so in this activity we are also going to think about good things, strengths etc.
5. On the board I'm going to draw a circle. On one half I'm going to write bad things / problems that you or your community face; on the other side strengths / good things about you or your community.
6. I will give you this ball and ask you to throw it at this target. If you hit this side tell me a problem, if you hit this side tell me a strength.

APPENDIX L11: EXAMPLE ACTIVITY - ACCOUNTABILITY – ACCOUNTABILITY ISLANDS

Creator / Reference	Created for the purpose of this study (adaptation – original creator unknown)
Timing:	5 mins (If time allows)
Resources:	Room
Data Capture Method:	Video and notes

1. Ok: in this exercise I have taken some statements from the Kampala OVC plan and the National Development Plan
2. I want to see if you agree or disagree
3. If you agree you must stand on this side of the room. If you disagree, stand on the other
4. Those that are not sure stand in the middle
5. If you agree or disagree you must try to convince those in the middle to join your side
    - Domestic violence is one of the worst forms of child labour
    - Insecurity in Northern Uganda has led to an increase of OVC within Kampala
    - Some children have no choice but to work in order to survive
    - The number of neglected children has risen because less people are getting married
    - Key causes of girls dropping out of school are – early pregnancy; sexual harassment and female genital mutilation
    - Uganda has one of the highest teenage pregnancy rates in Africa
    - 40% of women have experience gender-based violence

APPENDIX L12: EXAMPLE ACTIVITY - ACCOUNTABILITY – STAKEHOLDER TUG-O-WAR

Creator / Reference	Created for the purpose of this study
Timing:	20 mins
Resources:	Flip chart paper and pens, rope, space
Data Capture Method:	Video and notes

1. You have seen that different people have different ideas and priorities.
2. When you are designing a responsible NGO programme: you have to think about lots of different people's priorities
3. Imagine you work for an NGO like UYDEL, you are trying to design a project for young people in Kampala
4. Whose priorities do you think you must consider?
5. The international community (MDG) etc; National government; local government; your bosses at head office; local community x 5 divisions; boys v girls
6. Ask each one to pick one example of their priority
7. Put flip chart paper on ground – have 3-way tug of war
8. Now – do you think all these people have the same amount of power? – give donors more power – do again
9. Can you see that no matter what local communities think, staff often feel like they are pushed to accept what the government or donors think?
10. If you think there is a problem in your community – how do you think you could get more power to address that issue?
11. Research is one way to get more power. Next week we are going to talk about research

APPENDIX L13: EXAMPLE ACTIVITY - ISSUE EXPLORATION – PROBLEM TREE

Activity:	Tree analysis
Creator / Reference	
Timing:	1 hr
Resources:	Manila paper; glue; scissors
Data Capture:	

1. Get group to put together 4 pieces of blue manila paper
2. Get them to draw a tree on Can use brown paper and pens – trunk – branches but no leaves or roots yet
3. Once finished, get them to write poverty on the trunk
4. Ask what is an effect of poverty
5. Write first answer on a leaf cut out from green paper and stick on to tree. if you can find out effect if that effect and place new leaf further down branch
6. Now look at root causes of poverty – when answer is given write on root and stick on
7. If possible, do cause of root cause and stick on tree

APPENDIX L15: EXAMPLE ACTIVITY - ISSUE EXPLORATION – TELL ME / DRAW ME

Creator / Reference	Created for the purpose of this study
Activity:	Tell me / draw me
Timing:	30 mins
Resources:	Manila, art materials
Data Capture:	

1. Last week we started to ask what is poverty
2. First of all, ask the group to try to define what is poverty – warn them in advance that this is a hard task and there is no one agreed upon decision
3. If they come up with something like poverty is when you have little money – get them to be more specific – earns less than $1 a day etc.
4. Don't push too hard at this stage - we will come back
5. In your group I would like you to make a poster to explain about what is poverty
6. Let them start to discuss – discuss before drawing
7. Then return to last week's discussion – please write on flip chart in English so I can follow discussion
    a. How are poor people thought of by society?
    b. How do poor people think of themselves?
    c. Are poor people listened to? Respected?
    d. Do poor people have any power?
    e. Is it different being a poor man, woman, child, orphan, old person?
    f. Question stereotypes – can you be happy and poor? Do all poor people dress badly? etc etc ASK WHY TO EVERYTHING – QUESTION EVERYTHING
8. Ask who is leader today – remind them of basic team skills and leadership skills
9. Let them create poster as a team

APPENDIX L16: EXAMPLE ACTIVITY - ISSUE EXPLORATION – POVERTY CRITERIA

Creator / Reference	Created for the purpose of this study
Activity:	Poverty criteria
Timing:	30mins
Resources:	Flip chart and pens
Data Capture:	Flip chart, photo, film

1. Ask is everyone in Uganda poor?
2. Is it just rich and poor – are there different levels?
3. Encourage team to specify about 5 levels – e.g.
    a. Better off
    b. Average
    c. Poor
    d. Very poor

    Note – it is better if group can define these categories and name them for themselves – only prompt if they are stuck.
4. How can we tell if someone is poor or not? How would I know who is in each category?
5. In NGO programmes you often have to select who to work with – For example imagine that you work for an NGO, you have funding just for 100 people in Kawempe. Your NGO has decided that you want to work with the most poor. 1000 people apply to be helped how would you select the most poor –what criteria would you use?
6. In your team, again, I want you to decide on criteria for each category.
7. Let team lead – monitor and check logical – ask why they have decided that a lot
8. Get team to present

APPENDIX L17: EXAMPLE ACTIVITY - RESEARCH SKILLS – ASK ME A QUESTION

Creator / Reference	Created for the purpose of this study
Timing:	30 mins

1. Research can be a powerful tool in helping us to decide what projects to do with an NGO
2. If I know nothing about Uganda – nothing about your lives - Do you think that it would be a good idea to do a project for your community just on my ideas?
3. Ok this lady (draw) is from the community. Should I base an NGO project just on her ideas – this one person?
4. Research helps us to see the bigger picture – she might have one idea – but we need to understand what others think and what the problems really are.
5. When we do research one of the first things we do is decide a main question we will try and find the answer to
6. However, often it's not local communities get to decide what the research question is – it's often researchers like me and organisations who decide the main question
7. When people decide the question they are kind of deciding what is most important to think about
8. For example – if they ask people about education they have already decided education is important – maternal health – HIV – commercial sex work etc.
9. In the smaller core groups from here and …… they will decide the topic that they want to look at together
10. But today I want to get some idea of the questions you would like to ask if you had the choice. Rather than me guessing what's important I want to give you some more power - what is important to you – what would you want to know?
11. What would you ask if you could ask anyone any question? –
12. Show flip chart paper; do in big group
13. Give everyone two post-its and ask them to write question on post-it and then post question (we can help)

APPENDIX L18: EXAMPLE ACTIVITY - RESEARCH SKILLS – GROUND RULES

Creator / Reference	Created for the purpose of this study (adaptation – original creator unknown)
Resources:	Flip chart paper and pens, basketball hoop, print outs of NDP & NOP explanations
Data Capture Method:	Flip chart and video

1. I'm here to look at NGO accountability
2. How you ensure and demonstrate
3. Recording optional - ok to record
4. Before we go any further I think we should make some Ground Rules for these sessions so we are all happy about these sessions and clear
5. Do you remember last week we talked about the NGO that had very good programmes but no records? NGO A – that could not demonstrate - and the NGO that had very good records but had silly programmes – they were not ensuring they were using money responsibly
6. After we talked about that we looked at problems in your community and what you thought would be a responsible thing for NGOs to do
7. Last week I did the same exercise with two groups and asked young 25 year olds to rank their community problems. Even in two divisions within Kampala the priorities were different

- Bwaise – 1) poverty 2) floods 3) bad infrastructure 4) child abuse 5) electricity
- Makingye 1) Poverty 2) education 3) maternal health 4) HIV 5) drugs 6) insecurity 7) bad roads

8. Different people have different ideas and priorities. We have explored what your priorities are. Today I want to tell you about your government's ideas – they are written in a document called the National Development Plan.
9. Many of you are also under 18 years –Whilst you may not be children because you are independent and responsible for yourself and others, by law and in the United Nations Conventions on the -?? you are still defined as a child. This is important because as a child you have more legal protection rights and because the Government has a policy for supporting Orphans and Vulnerable Children (OVCs). If you are over 18 you get less support. Kampala has a plan for supporting OVCs.

10. Today we are going to look at the Kampala City OVC plan and the Ugandan Government National Development plan.
11. Split groups into four
12. I have given you a paper about the NDP and Kampala OVC plan
13. We are going to have a competition in a minute based on what we talk about now – so you will need to listen carefully
14. NDP – the main vision of the NDP is…. – it's a bit of a complicated document that is more than 400 pages long but I have tried to break it down – we are going to look at this again later but for now I want to look at 1 main part – 1) NDP has identified 8 key objectives
15. the NDP's main goal is …. – they define vulnerable as…- has 9 priority areas – the categories they will target are…
16. I want each person to write one thing you agree with or disagree with (on the 8 objectives of NDP or priorities of the Kampala plan. We can help and your group can help you. You just have 5 minutes
17. Play basketball game
18. Overall winners today will each get a prize

APPENDIX L19: EXAMPLE ACTIVITY - RESEARCH SKILLS – WHAT IS RESEARCH?

Creator / Reference	Created for the purpose of this study
Activity:	What is research?
Timing:	
Resources:	Flip chart paper and pen
Data Capture:	Flip chart

1. Ask group whether they have any idea what is research
2. Summarise – basic understanding is it's how we gain knowledge
3. There are hundreds of different types of research. Lots of people argue a lot about what counts as good research
4. For example, think about HIV. A doctor and an anthropologist are both trying to understand HIV
    - Doctors may do scientific experiments in laboratories and do scientific experiments to understand HIV and to see which drugs might cure HIV. The doctor might only work in a laboratory and never meet people with HIV. He/she might argue that to do good scientific research you must be objective (you cannot be influenced by people) you should only consider scientific facts – the numbers and results of experiments
    - An anthropologist is someone who tries to understand people in different countries and cultures. An anthropologist might spend a year in the community watching and observing someone with HIV to understand what their lives are like. The anthropologist would argue that it takes a long time to really understand something and to understand HIV you must speak directly to someone that has HIV.

      They are both trying to understand HIV but
5. The doctor is looking for things he can see, touch, measure. If I wanted to have a new cure

for HIV I wouldn't ask the anthropologist, I would ask the doctor.

6. The anthropologist is doing social research; she is interested in understanding people's experiences and feelings. If I wanted to design a programme for someone living with HIV I probably wouldn't ask the doctor as he has never even met someone with HIV – I would ask the anthropologist.
7. I can't explain every type of research just now but the important thing to see is that you pick different types of research for different reasons.
8. Ask group to tell me something they know
9. Draw line on board at one end. Write 'materialism' - like material its things you see; touch; measure; feel. At other end write 'idealism' – like ideas these are things you experience; ask.
    a. Tell me something you know about gravity – what happens if you drop this pen
    b. Tell me something you know about money
    c. Tell me something you know about being poor
    d. Tell me something you know about HIV
    e. Tell me something you know about love

APPENDIX L20: EXAMPLE ACTIVITY - RESEARCH SKILLS – ABOUT YOUR RESEARCH

Creator / Reference	Created for the purpose of this study
Activity:	About their research
Timing:	30mins
Resources:	
Data Capture:	

1. Normal research process
    a) Literature review - Concepts and theories
    b) Research question
    c) Sampling cases
    d) Data collection
    e) Data analysis
    f) Writing up / presentation
2. What do you want to know?
3. In this team you can look at any subject you like – it can be about a problem faced in your community (think back to how we did prioritisation in the engagement sessions). But it doesn't have to be about a problem in your community (Think back to all the questions you wanted to ask in the other engagement sessions -you could also look at some of those).
4. Last week you said that you wanted to ask the community – but what do you want to know from the community?
5. What information do you need to make a good responsible decision?

[Prompt only if needed]

a. What problems affect the most people?
b. Who in your community do the problems affect most?
c. Who needs the most help?

    d. What is the most serious problem?
6. List
7. Why – who cares? Who will the research be for?
8. Do you want to find out something or prove something?
    a. Deductivism – You have an idea (theory) then you do research to test if you are right
    b. Inductivism – You start off without a theory, do research, see what emerges and then make a theory
9. Who do you want to ask?
    a. Which areas? (why)
    b. Women / men? (why)
    c. Age? (why)

APPENDIX L21: EXAMPLE ACTIVITY - RESEARCH SKILLS – QUESTIONNAIRE DEVELOPMENT

Creator / Reference	Created for the purpose of this study
Activity:	Questionnaire development
Timing:	20 mins
Resources:	Flip chart, pens, research questions from last week
Data Capture:	Flip chart / video

1. OK, so now we have a list of questions you want to ask
2. Last week we looked at different types of research,.–Some types of research you are looking for things you want to measure. Count other types of research you want to understand
3. With these questions you could do some interviews
4. But it may be quicker to do what we call a survey – this is where we have a sheet that we wrote earlier – when we ask the question they have options or possibilities that we can just tick. It's much quicker than writing down everything they say
5. Is this ok?
6. OK, so now you have given me the research questions you wanted to ask. These questions are great but at the moment they are what we call open-ended questions. This means that any answer can be given.
7. So let's turn your questions into survey questions and design your survey
8. On flip chart paper talk out questions and do survey design
9. Pick someone neutral to test survey on
10. Get group to think whether it works ok

APPENDIX L22: EXAMPLE ACTIVITY - RESEARCH SKILLS – RESEARCH QUESTIONS

Creator / Reference	Created for the purpose of this study
Activity:	Research questions
Timing:	
Resources:	
Data Capture:	

1. Recap what we are doing and what we have decided
2. Research – pick subject – research about subject – plan activities – do activities – monitor / evaluate – impact assessment
3. In the second week we looked at an NGO who picked a very silly subject – umbrellas
4. In this team you can look at any subject you like – it can be about a problem faced in your community (think back to how we did prioritisation in the engagement sessions).
5. But it doesn't have to be about a problem in your community (Think back to all the questions you wanted to ask in the other engagement sessions- you could also look at some of those).
6. In this team we want to make a responsible good decision about what subject to pick
7. In your team you told me that you would like to pick the subject by asking the community – we are going to use research to pick the subject and then we will do research to find out more about the subject we have picked
8. You wanted to ask the community – but this week we need to decide exactly what do you want to know from the community?
9. We started off by developing these questions
    - 9.1. What problems are faced in the community?
    - 9.2. What are the most common problems?
    - 9.3. What effect does it have?
    - 9.4. What have they done to overcome?
10. What information do you need to make a good responsible decision? – prompt only if essential

10.1. What problems affect the most people?

10.2. Who in your community do the problems affect most?

10.3. Who needs the most help?

10.4. What is the most serious problem?

11. List
12. In teams again I want each team to think of 10 questions.
13. After ten questions developed – partner picked from opposite team to test
14. At end go through as whole team and decide best 10 questions to ask

APPENDIX L23: EXAMPLE ACTIVITY - RESEARCH SKILLS – RESEARCH PLAN

Creator / Reference	Created for the purpose of this study
Activity:	Research Plan
Timing:	30 mins
Resources:	Flip chart paper and pens
Data Capture:	Flip chart and video

1. Draw table across 2 pieces of flip chart
9. 2. Addy do first 2 columns and explain
10. 3. Jennifer try and get group to complete – in own words. They should write without help from Jennifer. First row should also be completed.

Stage	Addy's explanation	In own words	What we did /agreed	Photo - record - picture	Done - X / √
Subject	Pick a subject				
Explore	Find out what you already know				
Agenda	Who is the research for? Why do you want to do it?				
Deductive / Inductive	Do you want to prove what you think you know (inductive) or find out something completely new (deductive)				
Research	What exactly are you				

question	trying to find out?				
Develop tools	Interview questions / survey developed				
Sampling	Who do you want to ask?				
Ethics	Is this research safe for you and the people you're asking?				
Plan	Who is going to do what? Costs?				
Field research	Go out and do the research				
Analysis	Look at the results – what does it tell you?				
Disseminate	Tell people about your findings				
Action	What are you going to do with the new information?				

11. Not we will keep this poster as a reminder of where we are – so we do not skip ahead or forget a stage.
12. They should not go on to next stage without completing the one before
13. We have a subject so now we will go on to second stage of exploring poverty and finding out what we already know.

APPENDIX L24: EXAMPLE ACTIVITY - ETHICS – TRAINING 1

Creator / Reference	Created for the purpose of this study
Activity:	Ethics 1
Timing:	40mins
Resources:	Case studies, flip chart, pens, video
Data Capture:	Video, flip chart

1. When we think about ethics we are thinking about whether something is good and morally correct, and whether it causes harm to anyone.
2. When we do research it is really important to think about these things, because we would not want to do anything that would cause harm to anyone.
3. By thinking about ethics we hope we are thinking of ways to avoid some of the things you fear
4. I am going to tell you about two fictional case stories of bad research. I don't want you to worry because these are the worst examples of research that I could think of. WE ARE NOT GOING TO DO RESEARCH LIKE THIS!!! It will help us though to think about what is bad and good research. After thinking about the case studies we will talk about any concerns we have about our own research and make sure that our research is good and safe for everyone involved.
5. Give out copies of case studies and work in two teams – Julie with one team Addy with other.
6. These are fictional case examples of bad unethical research – please listen to the story and tell me what you think is wrong with this research.
7. Ask each team to present views - make a list about all the things we should / should not do to make the research ethical and safe.
8. Check all the concerns about the research we are doing and how to avoid problems

[Note: discuss - Information sheet, introduction letter, ID cards, consent forms, what happens]

APPENDIX L25: EXAMPLE ACTIVITY – ETHICS - CONFIDENTIALITY

Creator / Reference	Created for the purpose of this study
Activity 4:	Confidentiality
Timing:	
Resources:	
Data Capture:	

1. Before we start this study I need ethics approval from the Uganda National Council of Science and technology
2. So while we are waiting for that we are doing teambuilding and capacity building so we can be in good condition to start
3. Until that permission arrives I am not going to use any of the data (flip charts, videos etc) we collect
4. When it does arrive I will ask you for permission to use information about what we are doing – things like recordings / video / flip chart
5. If it's ok with them, I will still collect in flip chart paper /recordings etc from what we do now so I might use it in my study later - but I will just collect it, I won't use it until later
6. What will I do with information? Thesis journals etc – but I am not interested in their personal life stories, I'm interested in what they do as a group.
7. I will keep everything confidential - no photos, no names, no addresses – I will keep data secure
8. However, this research is not like other research – I am happy to keep everything confidential but if they are proud of what they have done maybe they might want to be recognised. I am not writing about how poor they are, etc I am writing about their achievements as young researchers and members of this group
9. Later on we can talk about this again – but if I ever identify them they will have a chance to read and approve what I say first. I will never publish anything that identifies them without their permission

APPENDIX L29: EXAMPLE ACTIVITY - TEAMBUILDING - NEWSLETTER

Creator / Reference	Created for the purpose of this study
Activity:	Newsletter
Facilitator:	
Timing:	1hr
Resources:	Case studies, flip chart, pens, video
Data Capture:	Video, flip chart

9. 1. Ask group if they have ever heard of a newsletter before. What is it? The clue is in the name 'news' 'letter'
10. 2. Explain that we want to make a newsletter to explain to others what PIP Kawempe has done and will do
11. 3. It should be interesting like a newspaper
12. 4. Written in what is known as the 'third person' so instead of saying things like 'I did this' we write 'a young lady from PIP Kawempe thinks'
13. 5. Show the start of PIP Makindye's newsletter. Get people to read line by line aloud – go round in a circle. NOTE if people don't want to read aloud they can say 'pass' and next person goes ahead. Make sure they know this before you start
14. 6. Once read – think of two or three news stories for PIP Kawempe's news letter
15. 7. Moureen will help with English
16. 8. Addy will go through it with group at the end

APPENDIX L34: EXAMPLE ACTIVITY - ENGLISH – ACCOUNTABILITY WORDS

Creator / Reference	Created for the purpose of this study
Activity:	Learning words
Timing:	30 mins
Resources:	Pen, flip chart
Data Capture:	Flip chart

1. Split group into two teams
2. Ask each team to come up with 5 words that relate to accountability – Bwaise – research – team work. Each team member should be able to write the word and understand what it means. Team members should help each other if someone is struggling
3. Draw a table on a piece of flip chart 4x11
4. In top column write - accountability – Bwaise – research – team work
5. Take it in turns: team members need to write words that relate below – they should also describe what the words mean in Luganda if necessary
6. One point is given to each relevant word that is spelt correctly – each team member should go at least once.
7. Leave this flip chart for later – but cover
8. Now put up another flip chart and play writing race
9. (Addy can introduce if you want)
10. Each team lines up behind mark on floor
11. One pen per team
12. Ask everyone how to spell a word you choose
13. Teams must write the word one-by-one with each member writing just one letter – first team to completes wins – 5 points if you win